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ABSTRACT

An examination of the Systems and Procedures Exchange Center's (SPEC) file of 72 annual reports from Association of Research Libraries (ARL) member institutions found that administrators were using annual reports for several purposes: as communication links with library users, the university administration, and the general university community, and as tools for developing public support and influencing acceptance of library goals and programs. At the beginning of this kit, a concise summary covers purpose and formats of annual reports, content issues, and future trends and issues. The kit contains complete annual reports for the year 1976-1977 from University of North Carolina, Stanford University, Duke University, and University of Arizona. The collection also contains excerpts of annual reports grouped under the following headings: (1) emphasis on planning/goals (Wayne State, University of Western Ontario, Ohio State University, and University of Kentucky); (2) university/library relations and support (Texas A&M, University of Toronto, University of Rochester, University of British Columbia, and Indiana University); and (3) information on internal library issues subdivided into (a) staffing (University of Texas and Harvard University); (b) collections (University of Alberta, University of California/Berkeley, and Syracuse University); (c) technical services (Johns Hopkins University); and user services (Arizona State University). (THC)

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The Use of Annual Reports in ARL Libraries

The writing of an annual report is a standard, yearly activity in most large library organizations. Traditionally these reports review activities and accomplishments of the fiscal year for administrative reporting purposes, drawing extensively upon departmental reports that line managers are expected to make. Very often, statistical reviews are appended to provide concrete data on activity levels.

An examination of the Systems and Procedures Exchange Center file of 72 current annual reports from ARL libraries finds that administrators are using them for several purposes--as communication links with library users, the university administration, and the general university community, and as tools for developing public support and influencing acceptance of library goals and programs.

PURPOSE AND FORMAT. The format, tone, and content of an annual report are influenced greatly by the library director's perception of the report's purpose and target audience. Formats tend to fall into three basic types. Where reports are administrative reviews provided by the director to superiors, they are usually brief, simple, data-based reviews with heavy emphases on current problems and the need for additional resources. Where reports are promotional and aimed at the larger university community, they tend to be more expensively produced, more polished stylistically, and oriented toward broader trends, developments, or challenges.

The third type of format is the multi-purpose report which attempts to update and inform a variety of audiences--staff, administration, faculty, donors, and students. This approach results in a much more ambitious document providing a wealth of information on departmental operations and staff activities. These reports frequently use a variety of report writing devices such as transmittal letters, abstracts, highlights, separately authored departmental sections, and appendices for lists of gifts, review of individual staff activities and accomplishments, bibliographies of library publications, notable gifts and acquisitions, and so forth.

ISSUES AND CONTENT. While the format of an annual report reflects the director's management style and personal approach, the content of these reports also provides considerable insight into organizational trends and concerns. While half of the reports reviewed by SPEC are primarily descriptive listings of activities or statistics-based documents, the other half are based on a broader issue or theme, such as the library's role in the university, the library's place in general development in librarianship, or major accomplishments within the library. By discussing library activities in the context of broad issues--university-wide or environmental concerns--administrators are able to inform readers of the problems facing the library, to stimulate development of solutions, and to provide broader justification for library support.

In the annual reports for the period 1976-1979, there is a general theme concerning managing a library in a changing environment. Although issues are presented in the

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context of budget cuts and cutbacks in library capabilities, the reports reflect administrations' determination to make the best of a difficult situation. Sometimes this is done by citing both strengths and weaknesses of the library's activities over the past year and relating those to economic and other pressures. Other reports look at activities in terms of achievement of the library's broad goals and objectives, and several of the reports contain sections or chapters on future plans and needs.

A range of contemporary issues are covered, including collection growth and use, user services, bibliographic control, costs of library operations, staff development, inter-institutional cooperation and automation. One often-explored issue is management of collections. While traditionally, reports have discussed acquisitions and facility needs, a new emphasis is on library efforts to use available resources effectively in developing collections. Thus, many libraries report on efforts to design better fund allocation procedures, develop system-wide collection policies, analyze and describe current holdings for future policy and planning purposes, and effectively use storage facilities.

Another area receiving attention is the development and expansion of services. Although budget constraints are having an impact on most libraries, efforts continue to extend public services, particularly in bibliographic instruction, on-line bibliographic search services, and the effective use of microforms. Some directors have chosen to highlight technical developments and automation in order to explain changes and to inform readers of future needs. Other reports highlight staffing activities -- promoting staff development or making a case for improved status and wages. Keeping in mind their audience of university administrators, many directors also use annual reports to discuss university-library relations, or to point out the need for university support of library activities.

TRENDS AND ISSUES. In the past two to three years, annual reports are tending toward a briefer style -- highlighting issues and providing readers with explanations of the environmental and professional contexts of a library's operations, in order to promote library activities and influence key groups. However, the values and limits of annual reports continue to be debated.

On the one hand, annual reports provide a periodic opportunity to reach groups such as users and university administrators with information about the library. And the exercise of preparing the reports gives directors and department heads an opportunity to take stock of a year's activities in a systematic fashion. On the other hand, reports are viewed by many as a routine chore requiring time and effort, and often receiving limited reading.

While annual reports probably have little immediate impact on a library's situation they can become a tool for exploring important issues in library development and planning. Annual reports can help set a positive climate for a library, among its staff and its users, by focusing on solutions rather than problems, on challenges rather than obstacles, and on accomplishments rather than on what cannot be done. As libraries face a future of limited growth and continued user needs, annual reports can provide a persuasive description of their success in adapting to the realities of their environment.

The accompanying kit on The Use of Annual Reports in ARL Libraries (No. 49, November-December 1978) contains 4 complete reports and excerpts illustrating various approaches: 4 excerpts with a goals/future orientation, 5 excerpts focusing on university-library relations and support, and 7 excerpts which illustrate ways of informing readers about internal library issues. The 109-page kit is available for $7.50 to ARL members and SPEC subscribers and for $15.00 to all others, prepaid, from: Office of Management Studies, ARL, 1527 New Hampshire Avenue, NW, Washington, DC 20036.

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THE USE OF ANNUAL REPORTS IN ARL LIBRARIES

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ANNUAL REPORT

of the

UNIVERSITY LIBRARY

University of North Carolina

For the Fiscal Year

1976 - 77

James F. Govan
University Librarian

CHAPEL HILL, NORTH CAROLINA

OCTOBER 1, 1977

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ANNUAL REPORT OF THE UNIVERSITY LIBRARY
FOR THE FISCAL YEAR 1976-77

October 1, 1977

To the Chancellor of the University:

Any research library, if it truly deserves that rather awesome designation, poses educational as well as operational challenges to its staff. For it is not simply a service unit within the University. It is also a vast and intricate network of information, which represents all scholarly specializations and therefore constitutes the most comprehensive intellectual resource in the community. Properly developed, serviced, and used, it is an integral part of the academic program, not merely supporting but extending instruction and research.

Regrettably, the scholarly and educational dimensions of research libraries tend to become less prominent in periods of economic difficulties, like the present one, and in the face of technological innovations in information handling. The constraints of the first and the potential benefits of the second combine to focus attention on technical proficiency instead of intellectual results. Certainly efficient disposition of resources and effective organization of personnel were never more critical than they are today, but these pressing requirements should never obscure the library's scholarly purpose.

The University has been fortunate in having its traditions in librarianship established by a unique educator-administrator—Louis Round Wilson, who was an able manager as well as being, in the most literal sense, a profound teacher. Dr. Wilson, who graduated from the University in 1899 and is today the oldest living alumnus, became University Librarian in 1901 and retained that position for thirty years before assuming the Deanship at the Graduate Library School of the University of Chicago. After ten years at Chicago, where he transformed library education through a fresh approach to a broadened curriculum and where he produced many of the library leaders of that generation, Dr. Wilson returned to Chapel Hill to continue his active contributions to his alma mater and his profession.

Dr. Wilson's accomplishments as University Librarian, advisor to University administrations, and contributor to the library profession, profoundly influenced the institution and librarianship during his tenure here. While there is not space to recount his entire career, certain landmarks in it that are of particular importance to the University should be recorded here. As Librarian, he planned and supervised the construction of two library buildings and initiated the Library's development as a research center by establishing the North Carolina, Southern Historical and Rare Book Collections. Outside the Library, he developed and directed the Extension Division, founded and directed the UNC Press, and edited the *Alumni Review*. He taught library courses to interested students for a number of years before obtaining a grant from the Carnegie Corporation in 1929 to establish a library school, which

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opened in 1931 with Dr. Wilson as its first director. He was a major influence in the founding of the North Carolina Library Association, the North Carolina Library Commission, and the Southeastern Library Association. He was president of the American Library Association in 1934-35 and over the course of his career received virtually all the major awards that organization makes. His bibiliography is also much too extensive for just treatment here, but it is characteristic of his active and productive life that he published a new book, *Historical Sketches*, in his ninety-ninth year.

December 27, 1976, was Dr. Wilson's one-hundredth birthday. To provide a centennial celebration worthy of commemorating such a career was no simple task. It was clear to all involved that a suitable occasion would have to reflect both aspects of Dr. Wilson's career, and consequently, the program was planned around two symposia, one on library education and the other on library administration. Wilson Day, December 2, 1976, began with an address by Jack Dalton, former dean of the School of Library Science at Columbia University, entitled, "Library Education in the Southeast Since World War II." Virginia Lacy Jones, dean of the School of Library Science at Atlanta University, and Mary Edna Anders, author of *Libraries and Library Services in the Southeast*, reacted. "University Libraries and Change" was the theme of the afternoon session and of the principal paper, presented by Dr. Herman Fussler, Martin A. Ryerson Distinguished Service Professor at the University of Chicago, former Director of Libraries at Chicago, and an alumnus of the University of North Carolina. Robert B. Downs, dean of library administration *emeritus* at the University of Illinois; Guy R. Lyle, director of libraries *emeritus* at Emory University; and Stephen A. McCarthy, former director of libraries at Cornell University, reacted to Dr. Fussler's paper. These distinguished speakers, like those of the morning session, had close associations with Dr. Wilson in the past. The papers of both sessions have been published.

It is fitting that shortly after Wilson Day, the Board of Trustees of the University selected an architect to design the new central library. This act was the culmination of a long and arduous effort by the University Administration to provide the campus with a comprehensive library program which should serve the University for the next twenty years. The program also includes an expansion of the Health Sciences Library and the renovation of Wilson Library, which ultimately will contain the special collections and a residue of little used materials from the main collection. During the summer and fall, the Library staff worked diligently on detailed allocations of space in the proposed central library and then turned this material over to a team of administrators, who wrote the final building program. This team consisted of Associate University Librarians Clifton Brock and Joe Hewitt, Assistant University Librarian Alfred Sharlip, and the University Librarian. With the guidance of Mr. Gordon Rutherford of the University Planning Office, the team reviewed the work of the Library departments, added the necessary general material to complete the final statement, and submitted the program to the architect upon his appoint-

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ment. Since that time, the team and Mr. Rutherford have been working closely with the architects, Leslie N. Boney of Wilmington in affiliation with Mitchell/Giurgola of New York and Philadelphia, on the planning of the building. As last year's report stated, these new facilities will be a landmark in the University's history, holding, as they do, the potentiality of markedly improving the educational life of every student and the scholarly life of every faculty member for years to come. The University Administration and Board of Trustees are due the community's appreciation for accomplishing the difficult but highly significant task of gaining the necessary authorization for the new structure.

The completion of the addition to the stacks of Wilson Library, delayed several months, was approaching, as the year ended. This expansion will provide both the necessary space to accommodate the Library's collections and services until the new building opens and the essential provision for the special collections, transferred materials from departmental and Divisional libraries, and any overflow from the new main building once it is filled. Thus the new program provides an integrated library system for the entire University, with the fourteen libraries on campus acting as interdependent elements in the whole. In the meantime, as these long term improvements progress, the Library staff wishes to acknowledge, with appreciation, the substantial improvements made by the Physical Plant Department in the appearance and safety of Wilson Library during the past year.

Another aspect of the University Administration's planning for library development over the past several years was the identification, by faculty and staff, of *lacunae* in the collections. The Library's staff of bibliographers has made good, if not substantial, reductions in the list each year since its compilation in 1973-74. This year, the Bibliographic Services Department surveyed the progress made, and the results indicated that most of the monographs remain to be acquired, that roughly 60% of the monographic sets and series are now in the collections, and that a small portion of the backfiles of journals, largely on microfilm, have been purchased. Exact measurements of progress are somewhat difficult, because the list frequently describes subject areas, instead of naming specific titles. Moreover, some academic departments, in their desire to obtain this material quickly, have purchased materials in the *lacunae* list out of annual book allocations. The combined acquisitions from these purchases and those made on special funds assigned to this purpose are gradually eliminating the identified deficiencies in the collections.

Dr. Patrick Wreath, Chief Bibliographer, in consultation with faculty and staff, has integrated these retrospective purchases into a general program for collection development. Dr. Wreath will present this program in its final form to the Administrative Board of the Library in the upcoming year. The proposed program, if adopted, should allow the Library to take advantage of contemporary acquisition methods provided by dealers, to follow predetermined

guidelines in a balanced development of the collections, to engage funds with maximum effectiveness, and to fulfill our obligations in cooperative programs with other libraries to the maximum. There is every reason to believe that these proposed procedures will create a stronger collection while saving time for both faculty and staff. A small beginning in this approach to selection and acquisition of materials was made this year through the university press approval plan, which enables the Library to obtain appropriate titles published by the major university presses of this country without title-by-title selection.

Among the notable additions to the collections this year were a first edition of Johannes Trithemius' *De scritoribus eccleciasticis* (Basel, 1494); Seneca's *His Tenne Tragedies* (London, 1581); Lucretius' *De rerum natura* (Paris, 1563); the Vatican Library's *Les manuscripts classiques latin de la Bibliotheque vaticana*, 1975-; the Ward Dorrance papers, including letters from Allen Tate, Carolina Gordon, other members of the Nashville Fugitive group, and Flannery O'Connor; and the Jackson Matthews papers, which contain a particularly rich collection of material on and by Paul Valery, the twentieth century French poet. As always, gifts from friends and alumni of the University supplemented these acquisitions. Among a great many others, Professor Lyman Cotten gave a group of maps and rare books from his father's personal collection; the estate of Mrs. Joseph E. Pogue contributed copies of Dr. Pogue's articles and books; the Graves family donated the papers of Mr. and Mrs. Louis Graves, the founder and long-time editor of the Chapel Hill *Weekly* and his wife; and Mrs. Anne Kitchin Travis donated the papers of former Congressman and Governor William Walton Kitchin. Generous and helpful donations to the endowments of the Southern Historical Collection and the North Carolina Collection assisted the growth of those two research collections.

Two collections within the Library's holdings deserve special mention because they are of unusual significance to this institution and this region, although they are still in their formative stages. The University Archives, which has suffered from the lack of space in the Library, will receive adequate shelving for the materials now stored in South Building when the stack addition opens. This physical accommodation will permit a gradual sorting and weeding of the material that should ultimately result in a far better organization and servicing of this significant collection. The Manuscripts Department continues to hope that eventually a formal program for the Archives will be established and plans to provide the space for such a program in Wilson Library after its renovation. The Folk Music Archive, also suffering from a lack of space, is located in the Music Library and contains a wealth of recorded material on the State and region. An indication of its holdings can be seen in some of its major acquisitions of the past year: 100 reels of Baptist songs and services, recorded in Southwestern Virginia on a grant from the National Endowment for the Humanities; 100 reels of instrumental music of Southwestern Virginia; and 32 reels recorded at the North Carolina Folklife Festival of 1976. If this collection

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continues to grow, it will provide a major resource to support future study of the traditional music of North Carolina and surrounding states.

The creation of a Media Center on campus has raised the question of the Library's relationship to that unit. Brian Nielsen of the Undergraduate Library, who has assumed the duties of liaison officer for the Library with the Center and who served on the Center's Board of Directors, submitted an extensive report at the end of the year suggesting the manner in which the relationship should develop. This report and further consultation with the Center will guide the audiovisual activities of the Library. The Undergraduate Library has always offered a limited amount of service for this kind of material, and the Music Library has always provided listening facilities for phonodiscs. It is clear that the Library system, within the limitations of resources, should begin to take a more active role in providing such services, in coordination with the Media Center. At the moment, the guiding principle emerging is that the Library should assume responsibility for individual service to students, while the Media Center should provide service to classroom groups; but much exploration remains to be done.

The obligation to expand and enrich the Library's holdings must not detract from the need for protecting and preserving the collections gathered in the past. This year several major projects were initiated to assure the survival of materials already held by the Library. A careful analysis of binding expenditures resulted in additional controls and a more effective disposition of those funds. The Photographic Services unit of the Interlibrary Services Center continues to microfilm the North Carolina Collection's invaluable newspaper clipping file, as well as filming the Dawson Pamphlet Collection and a complete file of *The Chapel Hill Newspaper*. Dr. Paul Koda, the Curator of the Rare Book Collection, continued his systematic examination of the general collections for volumes which should be appropriately transferred to that collection for security and proper care. He identified a total of 471 items, chiefly pre-1800 imprints, limited editions, and scarce volumes valued at over $100. A Preservation Committee was created to monitor these and similar efforts. There is a growing interest nationally in preservation programs, and there are clear and gratifying signs that the Library of Congress is preparing to take on national leadership in this area.

In a related undertaking, the Catalog Department managed to make progress on the reclassification of titles still in the Dewey Decimal Classification. To the degree that it is possible, the Solinet-OCLC system is being used to expedite this work. But most of the reclassification will have to be done without the assistance of the network because of the age of the titles in question. Several criteria have been developed to identify the 300,000 or so volumes which will be reclassified into the Library of Congress classification, the principal one being the number of times the book has been borrowed from the Library in recent years. Under present plans, an almost equal number of volumes will

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remain in the Dewey Classification and in Wilson Library as little used materials when the new library is occupied. Even so, to process 300,000 volumes in the next five years will impose almost as big a burden as the annual acquisition of new titles imposes. Consequently, it is fairly apparent that some concentrated program with special support will be necessary if this material is to be ready for shelving in the new building when it is opened. In the last quarter of the year, Mrs. Eleanor Broadus, who has had experience in a similar project at Northern Illinois University, was hired to supervise the reclassification program temporarily; and provision for a long-term supervisor of reclassification is being made for next year.

In addition to the items mentioned above, the Photographic Services staff began the filming of the North Carolina Union Catalogue, which transferred its active file to the State Library in November. The filmed version of the Catalogue can be combined either with the location data base of the Southeastern Library Network or with the file at the State Library to provide virtually complete coverage of title locations for all libraries in the State. Almost simultaneously, the University joined the Center for Research Libraries, fulfilling the expectation included in last year's report. The University had been a charter member of this cooperative association but had dropped its membership over ten years ago. The re-admission to this organization should open a large array of new resources to the researchers on campus and should provide access to those resources in a much quicker and more convenient manner than that of normal interlibrary loan. The return to membership was marked by the election of the Provost of the University to the Center's Board of Directors.

The terminals tied into the Southeastern Library Network and the Ohio College Library Center provide another convenient, rapid contact with national library resources. This year the use of these terminals for searching titles to be purchased and for locating materials to be borrowed from other libraries increased significantly, while the fundamental use of the system, on-line cataloging, grew remarkably. There were several reasons for this expanded use, but certainly one influence was the acquisition of a Decwriter II printer, which transforms the image on the terminal into hard copy, allowing the catalogers to work on more difficult problems without occupying a terminal for long periods.

Another highly significant attempt at cooperation with other libraries began in the Spring, when representatives from the staffs of Duke University, North Carolina State University, and the University at Chapel Hill, began to meet regularly to consider improving the services to the Research Triangle. The impetus for the effort came from the impending establishment of the National Humanities Center and the pressing need which Fellows at the Center will have for library resources. Initial discussions with the three directors led to the establishment of a committee composed of librarians from each of the institutions and charged with addressing new approaches to remote accessing and

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prompt document delivery, in addition to the long established cooperative projects in the area. As discussions progressed, it became clear that other research groups and commercial firms in the Triangle could profit from the same sort of expansion in service, and preliminary contacts have been made with these groups to involve them in the planning. At present, the committee is studying the four areas of public services, technical services, collection development, and automation.

Cooperative undertakings have not diminished the staff's varied attempts to make local resources as known and available as possible to the University community. During the year, the two reference staffs in Wilson Library collaborated on giving prominence to an individualized reference service for students. Entitled "Library and Research Consultations" (LaRC) and publicized through a distribution of posters and brochures, it is based on formal, arranged appointments for thirty to forty-five minute discussions with a librarian on research papers, theses, and dissertations. The service, which is not new but which has not been so formalized or publicized previously, is directed primarily at graduate students, who warmly welcomed its new format. In addition, the Humanities Reference Department continued to serve the libraries of the State through its In-Wats service to the State Library and added a telephone information service for local patrons. The BA/SS staff continued to increase its bibliographic lectures, this year giving a total of 47 lectures to students, faculty, and staff. Both departments continued to expand their number of subject bibliographies provided for faculty and students. At the same time, the staff of the Undergraduate Library, in addition to their extensive program in bibliographic instruction, introduced a term paper clinic in both the fall and spring terms to assist undergraduate students. Asked to evaluate the service, the students were overwhelmingly favorable in their comments, and the Undergraduate Library intends to continue and expand the service.

The Rare Book Collection was able to make some limited progress in the creation of a Bibliographical Laboratory. A small room near the Collection, formerly occupied by materials placed on campus by the Census Bureau, became available for the location of an electric microscope, generously donated by the Western Electric Company. The room was appropriately wired and lighted, and Western Electric sent a representative to calibrate the microscope and to offer instruction in its use. This instrument and the chromotographer constructed by a staff member will provide the capability for research on older printed materials. Dr. Koda of the Rare Book Collection plans to add to this equipment over a period of time, so that the laboratory eventually can be a fully equipped research facility, providing the basis for a new area of investigation in the University.

These additional services are, in part, an outgrowth of a sustained program of staff development. During the year, the Humanities Reference Department, in preparation for offering on-line information retrieval services, received training

in the use of the DIALOG system, established last year in the Business Administration/Social Science Reference Department. The Acquisitions Department instituted a series of lectures on topics related to their daily operations. This first year the lecturers and topics were Matthew Hodgson, director of the University Press, on scholarly publication; Michael and Karen Barnes, managers of the Old Book Corner, on the out-of-print book trade; Sally Hill McMillan of the University Press on book design and production; Paul Koda of the Rare Book Collection, on the acquisition of rare books; Margaret Lospinuso, Music Librarian, on Harrasowitz and European Book dealers; and Cloe Ann Canada, head of the Accounting Department, on accounting and budgets.

After two years' experience with the OCLC network, the Catalog Department planned a reorganization that will lead to more complete use of the system. While this re-structuring of the department was not a staff development program in the strictest sense, it led to highly profitable examinations and discussions of the department's responsibilities and activities. It was particularly beneficial because the department's staff, under the direction of Associate University Librarian Joe Hewitt and Department Head Rodger Harris, developed and proposed their own re-organization for administrative review. The discussions are still continuing, and it is hoped that much of the plan can be implemented in the coming fall.

The two staff associations maintained their programs for staff development of the last two years. The Staff Association initiated a "counterparts" workshop series in which staff members from five libraries in the area visit their counterparts in other libraries to observe other staffs' procedures. The University Library hosted groups who came to observe local practices in circulation, interlibrary lending, serials and periodicals, the Music Library, and the Undergraduate Library. Staff members from this campus visited other libraries to examine different methods used in acquisitions, cataloging, documents processing, servicing newspapers and microfilms, binding and marking, science libraries, and an art/design library. A rough estimate indicates that approximately 100 visits to other libraries were made by members of the staff under this program. The Librarians' Association held seminars on library buildings, special collections, personnel interviewing, international librarianship, systems analysis, and networks in North Carolina. In April, a conference on collection development attracted wide interest and drew an audience of roughly 150 people from libraries across the South. University faculty as well as visitors from other institutions assisted the staff in presenting these programs, but the initiative and organization, as well as many of the presentations, were the work of the Library's own talented personnel.

Members of the staff regularly teach in a variety of academic departments in the University, but, not surprisingly, they are most heavily represented in the School of Library Science. Associate University Librarian Joe Hewitt, who teaches a seminar in the administration of technical services, is an Adjunct

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Associate Professor in the School, and Rare Book Curator Paul Koda, who teaches a seminar in the management of rare book collections, is an Adjunct Assistant Professor. Ridley Kessler of the Business Administration and Social Sciences Reference staff regularly teaches a course in government documents. However, a number of other staff members are invited to give single lectures on their specializations to a variety of classes. This year, for example, lectures were given on one or more occasions by the following members of the Library staff: Margaret Lospinuso and Kathryn Logan of the Music Library, Philip Rees of the Art Library, Betty Davis of the Brauer Math/Physics Library, and Marcia Tuttle of the Periodicals Department.

Four new staff committees were formed: the Safety Committee, the Committee for Services to the Handicapped, the Committee on the Center for Research Libraries, and the Committee on the Preservation of Materials, mentioned earlier. These last two committees serve as subcommittees of the Collection Development Committee. An elected *ad hoc* committee gathered extensive data on each professional librarian on the staff and assigned ranks of Librarian, Associate Librarian, or Assistant Librarian to them, in accordance with the proposal for academic status for the professional staff. An appointed *ad hoc* committee supervised the first revision of the Administrative Manual of the Library in 25 years, and another such committee is presently working on a system of annual staff evaluations. The Planning Council is now compiling a policies and procedures manual, and the Communications Committee produced a revised edition of the staff handbook, originally published by the Staff Welfare Committee in 1972. These two publications should enable any staff member to obtain answers to any question concerning his or her job situation.

Several departments continued and extended analytical studies of their operations. The Acquisitions Department enlisted the assistance of Mr. Bryant Deaton of the Systems and Procedures Section of Administrative Data Processing for an extensive study of the department's procedures. Both reference departments made analyses of the reference questions received over extended periods at various points during the year and had the resultant information analyzed by the computer in ADP, with an eye to adjusting staff scheduling and acquisitions policies to meet their patrons' needs more effectively. The House Undergraduate Library initiated a self-study which will extend over approximately three years, under the direction of Ms. Elizabeth Mosby. The intention is to examine the place of the House Library in the library system, its services, its collections, and the public who use it. This last aspect necessarily involves a study of the faculty and student body of the entire University and should produce analytical tools and approaches which will be useful to other units in the system, as will the other studies mentioned.

Among the professional librarians, there were four new appointments to the staff, one appointment of a former non-professional staff member, and two internal promotions. William Schenck, formerly of the Yale University Library staff, became head of the Acquisitions Department, replacing Mrs. Peg

Schaberg, who retired last year. David Gleim, formerly of the University of Florida staff, assumed a newly created position as head of monographic cataloging, after a brief tenure as science cataloger. Cynthia Adams became Network Librarian in the Humanities Reference Department, and Margaret Winchell became Slavic Cataloger. Murlin Croucher, former Slavic Cataloger, became Slavic Bibliographer, and Donna Cornick, former Network Librarian, became Information Retrieval Librarian in BA/SS. Jane Bivens became Public Services Librarian in the Periodicals Department.

The many and varied activities recounted here were made known to the faculty through a distinctly improved version of *Library Notes*, edited by David Taylor of the Undergraduate Library, and to the staff through an equally improved *Staff Newsletter*, edited by Ann Harbin of the Cataloging Department. Both publications have much more attractive formats than they had formerly and contain more information about the Library's operations. Both are now consistently well-edited, and both Mr. Taylor and Ms. Harbin are to be congratulated on their fine performances in difficult and demanding assignments.

During the year, the Library hosted Mr. Claude Green, Director of Libraries at Elizabeth City State University, on a one year internship sponsored by the Association of College and Research Libraries and the Mellon Foundation. Ms. Elizabeth Mosby of the Library's staff took a year's leave to replace Mr. Green as Acting Director at Elizabeth City State. While here, Mr. Green systematically studied every unit of the library system, attended all administrative meetings, and participated in the deliberations of selected committees.

The Administrative Board of the Library had a year as active as that of the staff. One major step taken, after careful investigation, was the authorization of the university press approval plan. The Board spent the second half of the academic year, in both its own meetings and in the meetings of its standing committees, studying the structure and administration of the budget in order to reduce the burdens on the faculty and the costs of current methods of book selection. As always, the Board provided invaluable and supportive counsel to the Library Administration and served as an indispensable avenue of communication with the University community.

The record of 1976-77 is one of constant and productive activity, but it is simply a prelude to greater efforts. Planning for the new central library will clearly occupy a large portion of the Library's agenda for the future. However, that agenda also covers improvements in accessing the Library's resources, expanded networking ties to other libraries, special emphasis on closer relations and shared efforts with the two other university libraries in the Research Triangle, refinement of the program for collection development, further exploration of user studies and analyses of library service, increased attention to the preservation of the collections, an expansion of the focussed service to graduate students, investigation and planning for additional application of automated

systems, and continued liaison with the media center in its developing program. Within the constraints of sound management of resources as a means to educational and scholarly goals, that principle stated at the opening of this report and so well exemplified in the career of Louis Round Wilson, the Library faces a challenging opportunity to improve its services significantly at this point in its history. It is fortunate in having a staff who have demonstrated a capacity for growth and who are not only equal to future challenges but await them with some eagerness.

The ability to realize the opportunities ahead, as in the past, rests directly on the support received from the University and the people of the State. In this period of continued inflation, shrinkage of resources, and innovations in information handling, the availability of the support required to take advantage of the many opportunities which present themselves becomes increasingly important. The prospect before us holds the potentiality of totally changing library service on this campus. We [illegible]front that potentiality are fully appreciative of the responsibilities that imposes, the benefits which it bestows, and the efforts of those who have made it possible.

Respectfully submitted,

James F. Govan
University Librarian

SPEC Note: Library Standing Committees, individual donors, statistical tables, and the library staff have not been included in the rpt.

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Stanford University
1976-1977

Stanford University Libraries
Annual Report 1976-1977

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Handling Scientific Information: Problems, Progress & Needs

One of the major challenges to the Stanford Libraries is meeting the needs of the University community for scientific and technical information. The task is formidable because of the proliferation of publications in these fields, and the complexities of bibliographic and physical access.

Increasing Publications & Rising Costs

Studies suggest that the quantity of scientific information has been doubling every ten to fifteen years. A 1969 report on scientific and technical communications by the National Academy of Sciences noted that there were roughly 40,000 research papers a year in physics, several times that number in chemistry, biology, agriculture, and medicine, and perhaps as many as two million in all fields of science and technology taken together. Today we have lost count, but we know that there are vastly more now than there were a decade ago.

In scientific disciplines, the publications most frequently used are journals; they are also the most expensive. No university library can afford to acquire more than a small fraction of all scientific literature, especially since the cost of scientific monographs and journals has been increasing at a rate of 18–20 percent per year. The average price of science monographs bought by Stanford in 1976 was $23.87. The journal *Biopolymers*, which cost $70 annually in 1970, is now $195. Journals in chemistry and physics cost almost six times more than those in political science, and almost five times those in economics, sociology, and anthropology. As extreme examples, the *Journal of Organometallic Chemistry* costs $1,083 annually, and *Nuclear Physics* A and B, $1,540; *Chemical Abstracts* is now $3,000 (and its quinquennial index, $7,100); Beilstein's *Handbuch der Organischen Chemie* exceeds $5,000 a year.

With increasing scientific specialization, more journals are covering narrower fields: fewer subscribers mean higher cost per subscription. And as the volume and cost of published information sharply increases, so do the costs of such secondary services as computer-readable indexing and abstracting aids. *Applied Mechanics Reviews*, now $155, was $72 seven years ago; *Physics Abstracts* has risen from $192 to $560 during the same period.

These figures underscore the acute need for endowed book funds in the science and engineering libraries to ensure the continuing strength of scientific and technical research at Stanford.

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Complexities of Access

But more publications and rising costs are only part of the formidable problem faced by a university library. Providing adequate access to the materials is an overwhelming challenge. Scientific literature searches produce large numbers of citations. However, the various indexing tools use inconsistent terminology, which makes them particularly inadequate for interdisciplinary searches; there is a dearth of proper critical analysis, synthesis, and compaction; coverage is incomplete; and there are differing methods for information retrieval. Furthermore, over 100,000 informal research and development reports are issued annually in the United States, of which three-quarters are unclassified. This report literature constitutes perhaps 15 percent of public technical research, yet it is not comprehensively abstracted and made part of the permanent record.

The elusiveness of bibliographic access is compounded by the preprint. In many fields of basic science, such as molecular biology, the pace of journal publication is too slow to meet the needs of frontier researchers in the field. Thus preprints are circulated among the "informal college," which may be only a few hundred researchers worldwide who are working in the same field. The preprint frequently bypasses the referee process, and many months pass before it finds its way, if at all, into the indexing and abstracting services.

Add to these complexities the fact that there are now experiments in mixed media—combinations of print with micro-form and in some cases even audio tape cassettes. As was reported in the September 1975 *IEEE Transactions on Professional Communication*, "The future of the author-controlled, traditional scientific paper is being rightfully questioned. Editors and publishers are experimenting with depositing a part of the original disclosure in some form other than a normal typeset manuscript. No longer can one say that all journals look alike."

Multidisciplines & Problems of Location

Even if a researcher finds an exact citation, locating the text can be laborious and frustrating. One recent national survey found that 5 percent of all serials listed in the *Chemical Abstract Service* were not held by *any* library, and that 35 percent were in cyrillic languages, 20 percent in Western European languages, and 17 percent in English.

If each Stanford scientist were part of a research team in a building housing

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practically all of the published literature germane to his or her field in a well-indexed collection, and if this pattern could continue consistently over some decades, each such group would be well served. That, however, is not the case. Every unit in the Stanford University Libraries has material on science and engineering. Thus the cataloging system and location instruments are crucial to minimizing the difficulty of access.

Furthermore, traditional disciplinary boundaries no longer hold. Fields change, and today's discoveries become the historic base on which tomorrow's research efforts are built. The essence of a university is the advancement of frontiers, and often this advancement occurs both in the traditional disciplines and in the interconnections among them—interconnections which themselves often emerge as new disciplines. This is the nature of research at the frontier, and it has been Stanford's forte.

In library terms, the impact of increasing multidisciplinary work is immense. Imagine, for example, how to meet the needs of the School of Engineering when its professors' stated "special fields of research" include biomechanics, biomedical engineering, environmental sciences, medical electronics, public works economy, social impact assessment, and welfare economics. One department has ten professors with joint appointments in four departments outside the School of Engineering. Research at the new Stanford Synchrotron Radiation Laboratory is expected to bracket chemistry, physics, biology, medicine, and materials research.

Scientific research seems to be becoming an increasingly integrated fabric —an event which Professor Joshua Lederberg has termed one of this century's memorable peaks in the evolution of human culture. While science may once have been mechanics, astrology, astronomy, alchemy, optics, and natural philosophy, the fabric is now woven of hundreds of interdisciplinary and often interlinking fields, such as human biology, plasma physics, biochemistry, and medical electronics. The systems approach to problems also leads to the development of what have been called "interdisciplines," such as cybernetics, operations research, communications sciences, and systems engineering. As it is recognized that science is a system whose parts (the disciplines) are interdependent, we find Stanford moving into environmental studies, engineering economic systems, a program in values, technology, and society, and

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a new area of concentration, the history of science. The library must support these diverse and rapidly changing programs in the face of escalating costs and output of materials.

Centralization vs. De-centralization

How then is the University to cope with the massive increase in the volume and cost of these publications? How can it handle the problems of bibliographic and physical access?

The answers are exceedingly difficult because strong opposing forces are at work. One is that each research team wants a working collection of materials in its specific field of interest, specially cataloged and organized for its needs. On the other hand, the pressure of operating economy and the multidisciplinary nature of scientific research argue for a high degree of centralization. These alternatives have been examined, and it has been concluded that the pattern of science libraries existing in 1977/78 is, on the whole, suitable for this University. Eight fields have research branches: biology, chemistry, computer science, earth sciences, engineering, marine biology, mathematics, and physics. The Chemical Engineering Library was merged with the Swain Chemistry Library last summer. The Computer Science Library will merge with an enlarged mathematics facility next summer. The Engineering Library will absorb library collections for engineering economic planning and industrial engineering, as well as the Timoshenko Library and parts of the Guggenheim Space Sciences collection. The Falconer Biology Library is incorporating the Dudley Herbarium and Systematic Biology collections. The results will be seven strong research collections, each with a professional in charge of collection development and management. These collections amount to a third of a million volumes (including serials, documents, and monographs) plus manuscripts, maps, and reports.

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Progress toward Meeting these Needs

Over the past ten years Stanford has made exceptional efforts to provide library support for the sciences. Book fund increases have averaged well above increases in the consumer price index in order to keep up with the cost of library materials and thus maintain buying power. In little more than a decade, expanded building facilities have been provided for the research collections serving chemistry, computer science, mathematical sciences, physics,

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earth sciences, the Hopkins Marine Station, and engineering—an extraordinary accomplishment. In turn, the recorded circulation of materials from the eight research libraries has grown from 72,400 in 1966/67 to over 208,600 in 1976/77.

The problems are awesome. Yet with the cumulative effect of many years of effort, the University has not only maintained, but undoubtedly improved, its library collections and services to the sciences. Each year makes its contribution toward that end, and 1976/77 provides evidence of further steps along this path.

Science Highlights of 1976-77

These are some of the ways in which the Stanford Libraries have responded to special needs and current trends in science and technology:

Any item included in Library of Congress MARC data tapes is sent immediately to the appropriate branch library for circulation, even before card-catalog data is obtained. The result is more rapid access to the items and reduced processing costs.

An experiment with delivery of books to faculty offices, begun by the Engineering Library, has been expanded into a delivery service for the Schools of Humanities and Sciences, Engineering, Earth Sciences, and Education. The service enables faculty and staff to request publications by telephone and have them delivered to the closest branch library.

The Stanford Union List of Serials has been expanded to include complete and accurate records for all currently subscribed journals, periodicals, and other serials in the University Libraries and many retrospective and terminated titles as well. A microfiche version in 1978 will include titles held by the University of California, Berkeley.

The difficult-to-locate computer-program documentation in many formats is now covered by a guide compiled from machine-readable input by the Computer Science Library, *A Guide to Using Masterlist and Locating Source Code Listings.*

To protect the Libraries' capacity to add important new serial titles and to modify cost rises in this critical area, science librarians, in consultation with faculty and language specialists, have begun to prepare lists of the least-needed and least-used journal titles in their fields. After thorough review, those no longer needed will be cancelled; those seldom used may be purchased either by Stanford or the University of California,

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Berkeley, so that both libraries continue to have proximate access to a research "archival" copy. Funds saved will pay for new subscriptions to needed journals.

Collection evaluation studies are under way to determine where collections are inadequate when checked against standard lists and where lost items must be replaced. As part of a survey of Stanford's history-of-science collections, for example, current holdings were compared with a 1953 survey of primary materials of 72 mathematicians, physicists, and astronomers. Results show that collections of 39 percent are weak, 41 percent are adequate for topical research, and 20 percent are adequate for biographical and bibliographic research by having all primary and many secondary publications.

The collections have been strengthened and some extraordinary additions have been made in support of technical studies. One highly elusive item acquired was Hamilton's *On the Law of the Circular Hodograph*, 1846, which discusses the law of attraction. *The Sadtler Spectra Services*, costing $22,000, is a major source needed by biologists, medical researchers, chemists, geologists, physicists, and engineers. The University Archives, which already housed files of scientists such as W. W. Hansen and William Rambo, this year received the large corpus of papers of Frederick E. Terman. The central collections in the history of science and technology have been strengthened through gifts and selected purchases, such as the Almaden Quicksilver Mine materials and additions to the Brasch Collection on Sir Isaac Newton and The History of Scientific Thought.

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The new Swain Chemistry Library is a great improvement; the increased use was so substantial that the library is now kept open an additional nineteen hours per week.

The Technical Information Service, which provides library service to over 200 Bay Area industries, such as Alza, Lockheed, Hewlett-Packard, and IBM, reported that in 1976/77 over 3,000 requests were filled for loan or photocopy of material.

The General Reference Department in the Green Library has seen constantly increasing faculty and graduate-student use of on-line computer-accessed data bases, including the *Biological Abstracts and Bio-Research Index*, *Chemical Abstracts Condensates*, *Pollution Abstracts*, *Science Citation Index*, *Computer and Control Abstracts*, the *National Technical Information Exchange*, and the NASA citations to foreign and domestic publications on aeronautics and astronautics.

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On-line terminals are being installed in the Engineering Library, Biology Library, Music Library, and Cubberley Education Library. Their addition in these and, later, in other research branch libraries should facilitate markedly the access to related materials held elsewhere on campus, plus all items for which purchase orders have been placed. A start has been made in listing the holdings of other libraries.

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The arrangement for a cooperative circulation service with the University of California, Berkeley, inaugurated last February, enables doctoral candidates, faculty, and research staff to make direct use of the Berkeley collections. This arrangement, together with regular bus service between Berkeley and Stanford, allows direct access, which is much quicker than traditional interlibrary loan procedures.

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Preservation and conservation are being given renewed attention. Nearly all materials produced over the last 100 years have severely limited durability, given present atmospheric pollution, heat, and the unstable chemicals used in manufacturing most paper. This year the Libraries have studied means for coping with deteriorating collections, for stimulating national planning on this problem, and for motivating local and regional groups to create a cooperative preservation laboratory. The fumigation chamber in the Herbert Hoover Memorial Building will be available for use by any Stanford library. Yet, conservation needs are of such massive proportions that librarians, scientists, and the federal government must collaborate on the solution. The new conservation plan for Stanford involves a comprehensive, cooperative attack on this need for conservation of resources.

These achievements, the result of a partnership of all library staff, enable Stanford to provide effective library service in scientific and technical fields, despite formidable challenges. The problems are being given constant attention, and the enumeration of some of this year's developments are indicative that improvements continue to be made each year in Stanford's library services and collections.

The task of providing superior service and collections is enormous; it requires the help of many people. Stanford friends are invited to assist in this ongoing effort to improve library service by gifts for the endowment of Stanford's scientific and technical collections.

David C. Weber
Director, University Libraries

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About the Year's Gifts

It warms my heart to reflect on the many loyal friends who care deeply about the Stanford Libraries and who have given generous support to make this a memorable year.

This was the year of the magnificent gift from Dr. and Mrs. Cecil H. Green, which made possible the start of construction of the long-awaited addition to the Main Library, now the Cecil H. Green Library.

It was also the year when the Campaign for Stanford was successfully completed, with many Campaign gifts designated for library support. Especially significant for the Libraries' strength were endowment gifts, such as the book fund on Travel and Exploration established by Mr. and Mrs. Ronald P. Klein of Los Angeles in honor of Mr. Klein's parents.

During the year, 600 Stanford alumni responded to a mail appeal that asked them to sign an enclosed book plate and return it with $25 in order to "put *your* book in the Stanford Libraries."

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This was the year when the Library Associates made two outstanding gifts to the Libraries, one to celebrate the groundbreaking for the building addition, and one to honor Edward Colby, Music Library, and Oswalda Deva, Special Collections, on their retirements. These gifts are described in the following pages.

In 1976/77, many friends who have supported the Libraries over the years again gave generously of their friendship, their funds, and their books, among them, Norman Strouse, Christian de Guigne, William and Byra Wreden, Bliss Carnochan, Haskell Norman, and William Moran.

Also this year, 358 donors made Memorial Gifts and Gifts in Tribute totaling $10,538.

The following selected gifts indicate the variety and quality of books, manuscripts, and other materials that have been generously provided by donors during the past year. To all who helped make 1976/77 memorable for the Stanford Libraries, I extend our deepest appreciation.—D.C.W.

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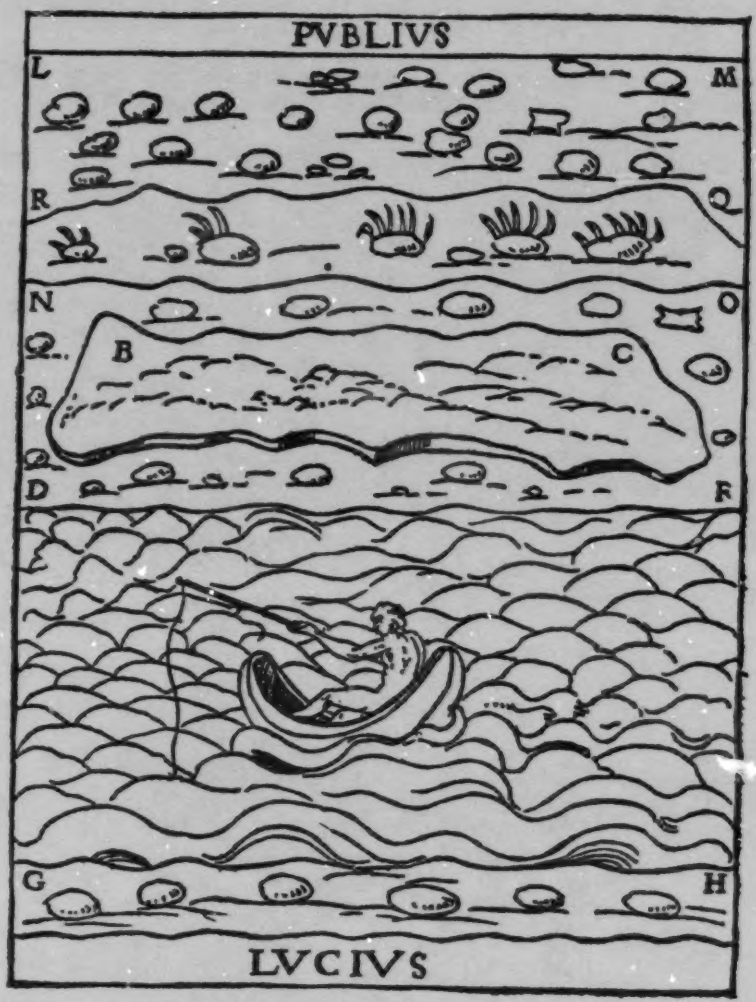

SPEC Note: Listings of donors, gifts have not been included in the kit.

Duke University-1976-1977

DUKE UNIVERSITY LIBRARIES
ANNUAL REPORT TO THE PROVOST
1976 - 1977

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DUKE UNIVERSITY LIBRARIES
Annual Report 1976-77

The library staff has made remarkable progress during this past year in reviewing and updating procedures to meet changing needs and to improve the effectiveness of the services it provides. The amount of progress has not always been easy to appreciate fully because the more thoroughly the many complex issues were examined the more obvious the enormity of the total project became, leaving everyone feeling more than just a little overwhelmed. In spite of the expenditure of tremendous amounts of time and energy necessary to a massive review of library operations, staff for the most part produced more work and provided better service than ever before. As they reflect on the past year's work, they can and should take considerable pride in their accomplishments.

Although an in-depth review of operations was already in process in several areas, a major effort to review the total library system and its relationship to the rest of the academic community was launched in February with the appointment of a long-range planning committee with Ann Stone as chairman and Florence Blakely, Mary Dawson, David Dowell, William Gosling, Richard Keyworth, Kathleen Hoye, Bertha Livingstone, Susan MacDonald, Ernest Robl, Elvin Strowd and John P. Waggoner as members. The committee is charged with establishing long-range goals and recommending program and organizational changes to permit the achievement of those goals. The committee was also asked to determine what the library should be doing in the ideal and what it can realistically attempt given likely levels of funding in the future. To assist the committee in exploring many complex issues in a reasonable length of time, eleven task forces will each examine a specific area of library services or operations. In addition, lengthy questionnaires were sent to each of the academic departments and to ASDU. Responses to these questionnaires will supplement those from the faculty and student surveys made last year. Members of the committee have also met with members of some departments to discuss issues raised by the questionnaire. In a separate but parallel activity, a sample inventory is being taken of the Perkins stacks. Since this is the first time the main stacks have ever been inventoried, the number of items missing is likely to be high. The sample was designed to be 95 percent accurate, plus or minus one percent. The results of the inventory will be very useful to the long-range planning committee.

Other long-range planning efforts relate to the cooperative programs with other area institutions. The Duke-UNC Collection Development Committee appointed in August has been expanded to include North Carolina State; and in June other members from each institution were added to represent public services and data processing. Duke members of the expanded committee are Gertrude Merritt, William Gosling, Florence Blakely and Otto Mayes. The committee is charged with investigating the feasibility of cooperative collection development, planned interdependence of traditional services, common (or compatible) automated systems, and services to the National Humanities Center. At the same time, the directors of the three libraries began to schedule regular meetings that would deal with long-range planning of a kind that would ultimately involve the chief academic officers of the three universities.

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Internal long-range planning is expected to provide the means to use all of our resources--human, as well as material and financial--to better advantage. External long-range planning will be especially important in the areas of collection development and systems. Cooperative collection development can be utilized only to a limited extent without jeopardizing the research effort of the local community; but certain types of serial publications appear to be prime candidates for cooperative collection development efforts, partly because of their numbers and cost and partly because of their relatively low level of use. According to a study of more than three thousand American periodicals which was published in the July, 1977, issue of Library Journal, the average subscription price for American periodicals increased 9.9 percent over 1976 which is the smallest increase in recent years. Using the period 1967-69 as a base year, prices for periodicals in Business and Economics have increased 147 percent; Chemistry and Physics, 283 percent; Education, 176 percent; Engineering, 257 percent; History, 109 percent; Labor and Industrial Relations, 273 percent; Literature and Language, 120 percent; General Science, 208 percent; Political Science, 140 percent; Sociology and Anthropology, 222 percent. Similar increases exist in all other fields. As a form of publication, periodicals and journals have increased substantially in number in recent years. The greater number of such publications and the rapidly increasing prices have combined to consume a larger and larger proportion of the book budget; and, if this trend is unchecked, our ability to acquire other types of important research material will be seriously limited. A number of recent surveys have shown that many serial publications tend not to be used after five years. If files of such titles were kept by only one of the three cooperating institutions (Duke, UNC, NCS), substantial savings in subscription, binding, handling, and storage costs could be realized. In the 1975-76 annual report of the Research Libraries Group, (Harvard, Yale, Columbia, and New York Public Library), it was estimated that average cost for a serial subscription approximates $115 in the first year (including ordering, cataloging, etc.) and $50 for each succeeding year. Based on the assumption that the average life of a serial is fifteen years, at least $813 could be saved by each of two of the three local institutions if only one library purchased a title. If inflation continues at recent annual rates the savings could approximate $1,235 per title. Over this fifteen year period, it should be easily possible, through cooperative collection development, for each of the three libraries to avoid subscribing to 500 new titles. If the Research Libraries Group's assumptions are valid, the savings to each institution would ultimately be $617,500 which could then be used to strengthen specialized areas of each of the collections. The potential impact of cooperative collection development is enormous, but if it is to be successful it will require careful planning and the full support of each academic community. The development of common or compatible systems would facilitate rapid access to the information files and collections of the other libraries and would result in a lower total systems cost for each of the institutions.

Other non-routine activities which received special attention were continuing education and staff development. The cooperative continuing education program sponsored by Duke, North Carolina Central, North Carolina State, and the University of North Carolina to bring speakers of national prominence to discuss topics of major importance to librarianship resulted in the presentation of four programs during the year. For the Duke Program, Henriette Avram, Director for Network Planning in the Library of Congress, was invited

to speak on the National Bibliographic System which is currently under development. Area librarians from as far away as Greensboro and Winston-Salem also attended the lecture. In a somewhat diffirent vein, a subcommittee of the Staff Committee for Cooperation on Continuing Education, chaired by Hampton Auld, arranged a "counterparts workshop" in which staff visited other area libraries to meet and exchange ideas with people holding essentially the same types of jobs. The follow-up questionnaire indicated that the workshop was a productive and worthwhile experience. The Professional Affairs Committee, chaired by Eva Lively, sponsored a number of Lunch & Talk programs on a wide variety of topics. Some of the talks were given by staff, others by speakers from area institutions, several were in the form of films or video-tapes, and two consisted of demonstrations of special facilities of other campus libraries.

To help staff gain expertize in areas relating directly to job responsibilities, in-house courses were developed in supervisory training and in bibliographic German. Twelve department heads participated in supervisory training conducted by David Dowell and 24 staff members from nearly all levels of the staff attended the German course taught by Ray English, a librarian who is a doctoral candidate in German. A course in Bibliographic Russian and a second supervisory training group are planned for the fall. Other specialized job-related training programs will be developed as time permits.

An expanded performance evaluation system to encourage greater and more meaningful communication between supervisors and their staff was introduced in March. The system is an attempt to develop more fully the knowledge, capabilities, and skills of each individual through improved communication, supervisory counselling, goal setting and periodic review and designed to give the librarian an opportunity to establish work goals and to determine how these goals can best be achieved to participate in the improvement of library services and to contribute to his own growth and development.

A thorough review of the support staff classification system was begun in the fall in an attempt to determine if the present scheme adequately meets the needs of the library and to propose changes if appropriate. It is anticipated that at least one new classification will be recommended to provide for a paraprofessional level to handle certain duties formerly performed by professionals. In addition to providing new opportunities for the support staff, it will also help to create a career ladder for them and may possibly reduce somewhat the rate of turnover in the support staff.

Ann Stone chaired a committee comprising members of the library staff, faculty, and students to develop a plan to establish an audio-visual center in the library. Applications for funding were submitted to the Undergraduate Teaching Council, the Commonwealth Fund Program, and to the North Carolina State Commission on Higher Education Facilities which administers Title VIA of the Higher Education Act in North Carolina. Two grants for materials have been made by the Undergraduate Teaching Council with the stipulation that the money could be used only if a center were actually established. The request under Title VIA failed; and because of the way criteria have been established, it seems highly unlikely that Duke will ever be able to qualify for a grant for any purpose under this Act. Two grant applications were filed to support projects in the Manuscript Department and both were awarded. A grant for the compilation

of a union list of South Asian government serial publications in major U.S. libraries was received from the National Endowment for the Humanities. Details of these two grants will be found later in this report.

The Jay Rutherfurd Audio-Visual Program to document the diplomatic history of the post-World War II period through video-taped interviews with key participants in the development of that history is being expanded. An annual lecture will be established so that the distinguished leaders who come to the campus for the video-taped interviews will also give lectures to the academic community. The most recent interview conducted in May between Averell Harriman and Elie Abel, now Dean of the School of Journalism at Columbia, is truely the most outstanding of the series.

A number of special programs were held during the year. The Publicity Committee, headed by Mary Canada, sponsored three "Sunday Afternoon in the Library" programs: in January, Mattie Russell conducted a mini-seminar on historical research in Manuscripts; in February, John Sharpe was host to a large gathering in the Rare Book Room; and in March, Betty Young discussed the history of the former Woman's College Library. All programs were attended by members of the campus community and the general public. The Friends of the Library presented "Writers on Writing", featuring Betty Hodges, Frances Gray Patton, Thad Stem, and Mena Webb, which was well attended by students, faculty, and library staff. In cooperation with the Alumni Association, Winston Broadfoot and John Sharpe participated in a "Saturday Seminar" on book collecting. Other participants were Prof. Frank Baker of the Divinity School and Terry Cavanagh, Curator of the Trent Collection. On February 28 a reception in honor of Ernst Ingedaay, the German Counsel General in Atlanta, was held in the Rare Book Room. At the reception Mr. Ingedaay presented the library with a collection of important German publications.

Through the alertness and cooperation of Thomas Broadfoot, a book dealer in Wendell, North Carolina, it was discovered that a large number of Confederate newspapers had been stolen from the library's collection by a former student. Captain Wheatley of the Duke Police conducted an intensive investigation which resulted in the return of almost all of the papers. During the investigation Martha Graham, Winston Broadfoot, and David Guthrie spent many hours inventorying the collection to determine the extent of the theft and later transferred all valuable newspapers to a newly created locked storage area. As a result of this theft, security measures at the exit control station were tightened; but the large number of classes held in the building caused a serious staffing problem. With the hiring of a temporary person to assist at the exit control station when classes were being dismissed, the situation was eased somewhat but the problem still has not been finally resolved.

The Orientation Committee, chaired by Nina Sagatov until her departure from the library in October and later by Serena Burke, experimented with a variety of new ways to introduce students to the library, the most important of which were a "Time-of-Need" orientation tour, a new information tabloid on the libraries, and a "Point-of-Use" handout series called "A Few Words About...." By means of a brief survey, the committee attempted to evaluate the effectiveness of the orientation sessions and has revised the overall program accordingly.

PERSONNEL

A number of major personnel changes occurred during the year. At the end of August, Lena Covington retired after 45 years of outstanding service to the library. She made important contributions in a number of capacities in Technical Services and served most ably as coordinator of cataloging from 1972 to 1976. Other retiring staff were Mary Cox, Math/Physics Library; Elizabeth Graham, Documents Department; Rosella Ferster and Elsie Harper, Technical Services.

As a result of Technical Services reorganization, several staff members were promoted to fill major positions in the department. Barbara Branson was appointed to the newly created position of Principal Cataloger. Her in-depth knowledge of cataloging rules and procedures will become increasingly important as the new cataloging code is adopted. Responsibility for the administration of the merged Catalog Department was assumed by Larry Kline whose knowledge of departmental operations will be extremely valuable as the department undertakes many major changes. Albert Nelius was appointed Acting Head of Subject Cataloging to guide this department through the arduous task of the merger of subject and descriptive cataloging. Jane Sturgeon was promoted to Coordinator for Cataloging of Rare Books and Special Materials. Her expertise in descriptive cataloging and her past experience in rare book cataloging gives immediate strength to this very important position. Erma Whittington became Librarian for the Hubbell Collection of American Literary Historiography. Her academic training in American literature and her in-depth knowledge of subject analysis has permitted rapid progress in organizing this growing collection.

New appointees to the staff are Susan MacDonald, as Head of a rapidly growing and increasingly important Documents Department; Scott Bullard, as Assistant Head of Acquisitions; Carolyn Cox, Serials Cataloger; John Erlandson, Documents Department; Joyce Farris, Hebrew Cataloger; David Wells, Reference Department; and Mary Ann Wilkins, Math/Physics Library. In other personnel actions Beverly Sparks was promoted to Assistant for Personnel, Joline Land became Assistant Head of Serials, and Martha Cleary was appointed head of the support unit in Subject Cataloging.

COLLECTION DEVELOPMENT

Between 1967-68 and 1976 the U.S. Book Price Index rose 86%, and the index for serials publications rose 186%. During this same period, the total amount of money available to the Perkins system for the purchase for all types of library materials rose only about 66%. The impact this disparity has on our ability to acquire important research materials increases each year and the erosion of the overall quality of the collections becomes steadily greater. The significant increases in the rate of publication coupled with inflation have reduced our buying power by more than half in the last decade. It is painfully apparent that the library will be increasingly unable to satisfy the needs of the academic community and will have to rely on the collections of other libraries to a much greater extent than ever before. Taking advantage of some of the national programs (such as the National Periodicals Center) when they are fully developed and entering into cooperative resource sharing programs with other libraries

would seem to be mandatory. By whatever means research materials are to be made available, it is clear that we can no longer have all desirable items at our fingertips. The fact that this problem is universal is of little comfort, but that universality may lead to the development of comprehensive programs on a national or regional scale that will make all materials, regardless of their location, more readily available to all. In the struggle to maintain strength in areas for which there have been long-term commitments, little money is left to support new areas of interest. The creation of new chairs, the establishment of new programs or institutes result in specialized demands for the development of new areas in the collections. The appointment of new faculty with special interests and the awarding of faculty grants to support research programs should be accompanied by budgetary provisions adequate to meet the additional demands placed on the library's budget. Until it is fully recognized that no new programs should be started without adequate budgetary support for the library, we will end up doing everything poorly. To provide some relief in the continuations budget, the process of reviewing subscriptions and cancelling some duplicate titles continues. The project of the Duke/UNC/NC State libraries to identify titles which do not have to be held by all three institutions to satisfy local needs is progressing. When agreements are reached responsibilities for maintaining back files will also be assigned.

The Friends of the Library has continued to give strong support with gifts of money as well as gifts in kind. During the year monetary gifts amounted to slightly more than $10,000 in general funds and approximately $12,000 to endowment and special funds.

BRANCH LIBRARIES

Biology-Forestry

Bertha Livingstone has been especially resourceful in attempting to improve services. A number of guides have been prepared to aid students in using the library, including an introduction to the use of the Forest Station Series and a self-tour of the Biology-Forestry Library. In addition, a 73 page instruction booklet for training staff and student assistants in the complexities of the card catalog was prepared. A simplified version of the card catalog manual was also used to instruct patrons on the effective use of the catalog. Course-related instruction has been given to students in Botany and Zoology and exercises, pre-tests and evaluation methods are being developed for future bibliographic instruction courses.

Space continues to be a serious problem in Biology-Forestry as it is in nearly all branch libraries. To make room for new acquisitions, it has been necessary to store older materials in Perkins, further compounding space problems there. An on-going inventory project was begun to provide some indication of the rate of loss. To date, approximately 20,000 items have been inventoried. In July Mrs. Livingstone spent several days at the Duke Marine Laboratory consulting with Mrs. Jean Williams and members of the faculty on library problems and instructing students in the use of the research materials available at the Station. Mrs. Livingstone also prepared a self-instruction guide to literature retrieval in the Marine Sciences for the use of students and visitors to the Duke Marine Laboratory Library.

Chemistry Library

By using the terminal equipment of Professor Lochmuller and the contract of Professor Henkens with Systems Data Corporation, it has been possible to introduce on-line literature searching of Chemical Abstracts for faculty and students on a limited scale. In order to familiarize himself with the intricacies of on-line searching, Eric Smith attended a week-long workshop at Cornell on automatic indexing and document retrieval using advanced computer techniques which also included an overview of computer applications to information processing. The continuation or expansion of this experiment will depend on the library's ability to fund it in the future. The Chemistry librarians at Duke and UNC co-sponsored a tutorial on the use of the printed indexes to Chemical Abstracts taught by a senior editor from the Chemical Abstracts Service and attended by 26 area librarians and chemists.

Review of the Chemistry Library collection has continued. Subscriptions to journals considered of marginal value to the department have been cancelled and back files of titles no longer relevant to departmental research were transferred or withdrawn. An interlibrary exchange of materials was begun with the transfer of partial runs of three European Paper Chemistry journals to North Carolina State.

Divinity School Library

Through the good offices of Dean Langford the staff was augmented to provide special assistance to the librarian and to aid in maintaining the Divinity School Library's public catalog. Betty Walker has returned to the staff to assume responsibility for both functions.

Book loss continues to be a serious problem for the Divinity School Library. Mr. Farris plans to enlist the aid of student leaders in the Divinity School to search for a solution to this problem.

Staff and users of the library suffered through a prolonged period without the properly functioning air conditioning and ventilation systems. Because the building is sealed, the temperature remained above ninety degrees for thirteen weeks making the conditions intolerable for work or study. Such conditions are also intolerable because of the serious effect on the book collection.

East Campus Library

Serious problems of space and environmental control continue to plague the East Campus Library. Immediate solution of the space problem can come only from a large scale program of remote storage, weeding or transfer of some materials, and replacement by microform editions of others. Temporary corrections are being continually made, but these offer relief only for the moment. The lack of adequate ventilation and dehumidification is causing many volumes literally to rot on the shelves. The entire building should be renovated to provide adequate lighting and improvement in space and equipment requirements in addition to appropriate mechanical systems.

Numerous special projects have been undertaken, including an inventory of heavily used areas of the stacks and review of periodical subscriptions which led to the cancellation of a number of titles duplicated in Perkins. The number of the special instruction sessions has increased for Trinity students and for those in graduate programs in Education and Art.

Margaret Knoerr mounted a series of excellent exhibits with greatly diverse themes of special interest. Betty Young prepared an exhibit on the history of the Woman's College Library in conjunction with her lecture for a "Sunday Afternoon in the Library" program and another in the spring on wild flowers in the Duke forest. The exhibits always attract considerable attention and are greatly appreciated by users of the East Campus Library.

Engineering Library

Extensive renovation of the Engineering Library was completed in the early fall. Book stack space was expanded to accommodate an additional 10,000 volumes. The reading room was painted, carpeted, and enlarged to provide increased study space. The circulation desk with a small office was relocated to a central position and the stack area was air conditioned. Unfortunately, the additional stack space will provide for growth only for a very short time.

The Engineering Library is also offering on-line information retrieval service on an experimental basis made possible through the use of Professor Nolte's equipment and membership in the Lockheed Information and Retrieval Service. To improve her search technique, Alice Wilson attended a workshop in Washington for users of Lockheed's DIALOG system.

The Computer Science collection is being transferred from the Math-Physics Library to the Engineering Library. Current issues and back files of Computer Science journals are being moved, but the monograph collection will not be transferred at this time. Since books in this field are rapidly outdated, it was agreed to split the collection rather than go to the expense of transferring the monograph collection at this time.

Math-Physics Library

At the end of the summer Mrs. Mary Cox returned to the library to work until her replacement was hired and on the job before officially beginning her retirement. On November 15, Mary Ann Wilkins became the first professional librarian to be appointed to the Math-Physics Library. In her brief tenure she has already identified more problems than she can possibly resolve with the limited amount of staff at her disposal. A number of changes have been made to improve the arrangement of furniture and materials and to facilitiate the use of the collections. A monthly acquisitions list was introduced in February to apprise faculty of new additions to the collections and a newsletter was begun in March to inform students and faculty of changes in the library and to provide general information on the use of the collections. To speed the processing and reshelving of reserve books and to exert greater control over the collections, a closed reserve section was established. Course lists are contained in a notebook to permit easy access to the reserve collections.

Supervision and maintenance of the Physics Department's copy machine has worked a hardship on the library staff and attempts to limit its use to periods when the librarian has student help have not proved successful. Resolution of this problem will be attempted during the coming year.

Math-Physics has also been involved in a project to identify titles jointly held by Duke and UNC. Because the vast majority of foreign language titles are not owned by UNC, only four titles in Mathematics and eight in Physics could be selected as candidates for cancellation. Space is critically short in the Math-Physics Library and storage of lesser used materials or conversion to microform should be undertaken immediately. The library is already filled well beyond capacity, necessitating the shelving of books on range tops and on the floor.

Music Library

Two major projects were completed during the year. A complete inventory of the collection was made to identify missing titles and to arrange for needed repair to worn or damaged volumes. The other major project involved verifying and checking subject headings against the Library of Congress list to assure accurate control in the catalog. A descriptive annotated guide to general reference works in the Music Library is nearing completion and should be ready for distribution by the Fall semester. A general guide to the use of the Music Library is also in preparation and will be used in evening instructional sessions planned for the fall. In addition to responsibility for the Music Library, Mr. Hammond also serves as University Carillonneur.

Undergraduate Library

Fewer items were placed on reserve for class use attributed primarily to the strict enforcement of the "Fair Use" doctrine of the copyright law. Only one copy of an article is placed on reserve without copyright release. Permission to copy without repeated request was sought from the publishers of thirty-nine of the most frequently-used journals and blanket permission was received from twenty-seven, two required a minimal fee, six refused permission, and one offered reprints for sale. The average time to obtain copyright release was twenty-one days with the range being from four to fifty-four days. Publishers of business journals were the least cooperative, while publishers of scholarly journals were the most willing to grant permission to copy.

Since the time between the fall semester and the spring semester is so short, the Undergraduate Library experimented with keeping all existing reserves intact because many of the reserve materials are used repeatedly for different courses. The experiment was very successful and permitted more rapid processing of new reserve materials.

During the examination period the Undergraduate Library was open twenty-four hours a day. Although reserve book use was moderate, the demand for study space was very high. The availability of a quiet place to study was greatly appreciated by students.

PERKINS SERVICE UNITS

Circulation Department

To help compensate for a shortage of staff during the peak workload periods at the end of the semester when the number of books being returned far surpasses the possibility of reshelving them in any reasonable time, an experiment of using students from the labor pool was tried. This worked particularly well at the end of the spring term and the backlog of incoming books was cleared in record time. The test of how well this experiment really worked will be in determining how accurately the books were reshelved. The rapidly decreasing amount of useable stack is reaching serious proportions. For practical purposes, a stack is considered full when it reaches three-fourths of maximum capacity. When the shelf loading goes beyond that point, it often becomes necessary to shift an entire section to reshelve a single book. This is obviously a costly and inefficient process. The alternative is to put books on the floor. Several areas in the stacks are becoming overcrowded, and steps need to be taken in the immediate future if placing books in the stack aisles is to be avoided. When Perkins was built, temporary walls were used in the construction of the departmental reading rooms so they could be removed easily when it became necessary to expand the stacks. That time has come. At least two of the stack floors should be expanded during the coming year.

Documents Department

In spite of an almost entirely new staff the Documents Department did an amazing job in handling significant increases in nearly all aspects of the department's work including a 15 percent increase in circulation, a 51 percent increase in cataloging, a 74 percent increase in the number of State documents, and a rise of 31 percent in the amount of reference assistance given. As if to prove that "nothing succeeds like success," the department improved and expanded services to such an extent that any attempt to advertise them would have produced so many requests that the small staff could not have handled them. Even so, "word-of-mouth" created demands that pushed staff to the limit. Instruction in the use of documents was given to classes in Policy Sciences, Political Science, Nursing, Education, Business Administration, and History. Information handouts were revised to reflect new additions to the collection, and some specialized handouts were prepared for some of the instruction sessions. Hours of opening were changed to accommodate the peak study times of students.

Holdings records of the documents of all 50 States were analyzed and plotted according to geographic area and issuing agency. These records will be evaluated against an overall standard for collection development and compared with holdings in Law and Medicine and also with those of UNC and North Carolina State. It was not possible to devote much attention to international documents, but considerable time was spent weeding the United Nations material and in developing a retention policy for United Nations publications. Subscription to the American Statistics Index microfiche edition of non-depository material will decrease the need to select such items individually. Selection policies, especially in relation to the science libraries, need to be developed for all types of documents. With the phenomenal increase in the number of government publications, the lack of complete bibliographic control is becoming increasingly

serious. Neither the Documents Department nor Technical Services is equipped to undertake full-scale cataloging of all such materials. Yet, it is imperative that a larger proportion of the collection be cataloged if the reference function is to be adequately served. Cataloging copy obtainable through a network would facilitate the processing of some materials, but a thorough study of the needs of the department must be made in order to determine the best method of handling all materials.

Newspapers and Microforms

A number of major projects were undertaken and completed during the year which have resulted in improved service. The microform storage area was rearranged so that readers could have direct access to it. Since patrons were able to use the collection on a self-service basis, considerable staff time has been saved, making it possible to direct more attention to assisting readers with special needs. A special guide to the resources and tools of the department was issued in September, and in February, a three-part listing of current newspapers arranged by title, state, and country of origin was made available. Since most branch libraries are not equipped to house and service microforms, all such materials were recalled and incorporated into the collection of the department with the exception of those in the Music Library, Duke Marine and East Campus. Each of these libraries was advised about organizing, storing, maintaining, and servicing their microform collections. Another project which will take some time to complete is the identification of paper editions of newspapers which are deteriorating beyond the point of use and their replacement when such titles are available on microform. Many other special projects have contributed substantially to the improvement of departmental operations.

The problem of outdated and wornout readers which are constantly breaking down remains a serious concern. Repair is slow, at best, and it is not uncommon to have as many machines out of service as in service. There are often times when patrons must be turned away because there are not enough machines in working order.

Martha Graham conceived the idea of having a workshop on newspaper indexing for area librarians. The Library School at North Carolina Central sponsored the program attended by 40 people representing public, special and academic libraries from most regions of North Carolina and two from the West Virginia Library Commission.

Reference Department

The Reference staff conducted specialized instruction sessions on research sources and search strategy for students in a number of fields and institutes as well as the honors program, and they also gave individual students instruction through term paper consultations. These services have been met with enthusiastic response and it is most important that such services be expanded so that students can receive full benefit from the rich resources available to them. The information desk, staffed primarily by volunteers, has proved to be a very useful service during orientation week and the first few weeks of the semester. Volunteers were assisted by staff during the orientation week so that the desk could be covered most of the hours the library

was open. Incoming students were assisted greatly by help received from those at the information desk. Irregular coverage of the desk through the year, because of an insufficient number of volunteers, has made it difficult to assess the year-around effectiveness of this service desk.

Two heavily used collections were acquired on microform. The acquisition of college catalogs on fiche will permit elimination of the expensively maintained hard-copy collection. A guide was prepared to the college catalogs in Perkins and other libraries in offices on campus. The other fiche collection purchased was of telephone books of major cities. Unfortunately this service includes only cities covered by the Bell System.

The reference staff is severely hampered in its efforts to improve services because the staff is barely large enough to cover even the most essential services--and often they are not covered adequately. The shortage of staff is especially noticeable at the Periodicals Desk where a single staff member and a number of student assistants are responsible for all operations of the department and for staffing the desk. The inability to provide adequate reference service and sufficient security for the open-shelf collection is a major problem in this area. Changes in staffing and in the physical arrangement of the collection are under study.

SPECIAL COLLECTIONS

Flowers Collection

At the end of the 1976-77 fiscal year the Flowers Collection contained more than four million items. Over half of the collection has been acquired during the directorship of Winston Broadfoot and in the past year alone, nearly 240,000 items were added. In addition to a large number of single items including books, broadsides, pamphlets and maps, several large and important manuscript collections were acquired. Among the most significant are:

Evans Family. Papers, 1928-1977.

Correspondence, scrapbooks, albums, clippings, and addresses and writings that concern the personal lives and careers of Mr. and Mrs. Emanuel J. Evans and their sons, Robert and Eli. For twelve years, from 1951 to 1963, Mr. Evans was mayor of Durham. He also has been a leader in his synagogue and in UNC alumni affairs. For a number of years, he was president of VISTAS. Mrs. Evans has been one of the outstanding Hadassah leaders in the United States. Robert Evans became a correspondent with CBS and then a television executive. Eli Evans is correspondent and author of "The Provincials." There are two scrapbook albums on E.J. Evans' activities as mayor and there is a similar volume on Mrs. Evans as a leader of Hadassah. There are also numerous unbound clippings about the careers of Mr. and Mrs. Evans and their sons. Among the unbound records, there are several folders of additional pictures. The correspondence of Mr. Evans as mayor constitutes a major part of the total correspondence of the collection.

Henderson, David Newton. Papers, 1950's - 1976.
This collection consists of the office files of David Newton Henderson while he was the U.S. Representative from the 3rd Congressional District of North Carolina from 1960-1976.

Roper, Daniel Calhoun. Papers, 1903-1938.
The collection of Daniel Calhoun Roper's papers that has been given to Duke University by his descendants numbers approximately 35,000 items and 23 volumes. The papers fall largely between 1933 and 1938 when he was Secretary of Commerce. From 1929 until his death on April 11, 1943, he was a Trustee of Duke. Intermingled among his records as Secretary of Commerce are records of his trusteeship. A number of scrapbooks and a letter book span most of his earlier career. He was widely known as a speaker and his collection contains many of his speeches. His numerous articles appeared in a variety of publications and he was an author of a book on the United States Post Office and co-author of his memoirs, 'Fifty years in Public Life."

Carr, Virginia (Spencer). Papers, 1967-1976.
Correspondence and research material relative to Mrs. Carr's published biography of southern writer Carson McCullers, includes correspondence with people, many of them famous, who knew McCullers and also copies of letters from McCullers and her friends and family. Draft of Mrs. Carr's dissertation and of the book, "The Lonely Hunter" are included.

Eltinge-Lord, Family. Papers, 1856-1871.
Mary E. Eltinge, daughter of Edmond Eltinge of New Paltz, married George P. Lord. Her brother Peter served with the 156th Regiment of the New York Volunteers and rose to the rank of Captain. There are numerous letters exchanged between him and his family, especially during the Civil War. George P. Lord became a lieutenant in the U.S. Navy and served with the Mississippi squadron. Nearly all of his papers relate to that service in which he commanded the Chillicothe and the Ozark. There is a printed guide and a supplement to Lord's official records.

Manuscript Department

Attention was drawn away from routine activities of the department by staff involvement in several major projects. Paul Chestnut devoted approximately half time to supervising the project funded by the National Historical Publications and Records Commission to catalog collections of papers of Senators from North Carolina held by the department. It is expected that three major collections will have been cataloged when the grant is terminated at the end of August. Erma Whittington and William Erwin spent considerable time revising the subject catalog and constructing an authority file for subject cataloging. Sharon Knapp supervised the preparation of additional materials from the Socialist Party of America Papers for filming by the Microfilm Corporation of America. From that experience she has written an article for publication in The Southeastern Librarian.

Erma Whittington was appointed Librarian for the Hubbell Center on September 1. In addition to the papers of Jay B. Hubbell which form the nucleus of this collection, other collections amounting to nearly 25,000 items have been received from twenty-two people active in the field of American literature. Holdings of the Center include papers and correspondence relating to American Literature which Dr. Hubbell founded in 1928.

William Erwin received a grant of $37,000 from the National Endowment for the Humanities to prepare a supplement to the Guide to the Manuscript Collections in the Duke University Library. The old guide describes only about one-fifth of the cataloged holdings of the Manuscript Department. The supplement will describe all collections added since 1947. Work on this project is expected to begin about September 1.

Among the many important items and collections acquired during the past year were:

Socialist Party of America. Papers, 1919-1976.

Papers of the Socialist Party and material relating to certain other organizations, primarily for the period, 1964-1975. There are many folders for the General Papers section of the National File, which contain subject titles, such as Membership, International Affairs Committee, National Action Committee minutes, and Labor. Printed material, clippings, and financial papers also form a part of the collection. Included are a few papers of the Young People's Socialist League, and serials, some of which are continuations of titles already in the collection. Material relating to other organizations, such as Negotiation Now!, National Committee for a Political Settlement in Vietnam, the League for Industrial Democracy, and Turn Toward Peace, appears in the collection. There is some correspondence, but many of the items are sponsor cards, contribution cards, membership cards, and mailing lists for these organizations. These papers have been interfiled in Division II of the collection.

Hayne, Henry. Papers, 1797-1824.

Henry Hayne was private secretary to Lord Amherst and acting secretary to the Amherst Embassy to China in 1816. Hayne's four-volume (597 pp.) diary of 1816-1817 records his trip to China, his visit to Peking, and a journey to Canton via the Grand Canal. This trip to the interior occurred at a time when British subjects were rarely allowed inside China. The Hayne diary is related to the papers of Sir George Thomas Staunton which have been in the library for some years. Staunton was a member of both the Amherst Embassy and the earlier Macartney Embassy that went to China in 1792-1794.

Feldman, Herbert. Papers, 1965-1976.

Feldman, a lawyer and long-time resident of Pakistan, was the author of several important histories of that country. He combined the merits of an erudite, independent observer of public affairs with entree into the highest social and political circles, since his wife is a member of a prominent Pakistani family. From 1965 until his death in 1976, Feldman kept a diary devoted to events and personalities in Pakistan. This eleven-volume diary is, and probably will remain, a premier source of Pakistani history during this period.

Duke, Angier Biddle (Addition). Papers, 1956-1977
Correspondence, clippings, photographs, and miscellaneous items related to Ambassador Duke's service as Commissioner of Civic Affairs and Public Events of New York City, the Presidential election of 1976, and other public matters in which he and Mrs. Duke were involved. One volume is a scrapbook recording the ceremonies held during the presentation to Ambassador Duke of the Grand Cross of Isabel La Catolica. Another is a scrapbook noted as Vol. II of the "History of the New York City Department of Civic Affairs and Public Events" compiled by Carol Overall. The motion picture records King Hussein's visit to the United States in 1964.

Rare Books

The most significant event of the year, or any other year for that matter, was the receipt of a gift from Prof. Harold Jantz of his collection of German Baroque Literature, German Americana, Early American and English imprints containing approximately 9,000 volumes. This collection is extraordinarily rich and it complements and enhances the existing collections in the Rare Book Room. Space adjacent to the Rare Book Room was rennovated to house the collection.

Other notable accessions included a tenth century manuscript of St. Gregory of Nazianzen, Invective against the Emperor Julian, and an early 9th century fragment of Bede, Gesta Anglorum.

The transfer of rare and valuable materials from the general stacks and the Divinity School Library has continued, and new procedures were introduced in Technical Services to minimize the amount of handling each volume received. Other procedures were also changed to reduce the amount of handling of all rare materials and to provide for their greater security while awaiting processing.

Curator John Sharpe held a number of seminars and tours for students from Duke and other institutions and in his capacity as Secretary of the Friends of the Library, he hosted several special receptions. In May an exhibition of manuscripts from the Harry Dalton collection was held and for this special occassion, Mr. Sharpe and Sharon Knapp of the Manuscript Department prepared an excellent catalog of the collection.

TECHNICAL SERVICES

At the beginning of the year, the staff committee studying the possible merger of the Descriptive and Subject cataloging departments into a single unit recommended that the consolidation take place. The purpose of combining the two departments is to reduce the number of times each item is handled, to speed processing so books and other materials would be available to the public more rapidly, and to free staff to work more directly with students and faculty in public service departments. Staff of each department is being trained in the work in the other so the merger can be completed before any network affiliation is made.

In anticipation of future network participation, a review is being made of the organizational structure and processing procedures for all technical service units. In the near future a major study will be undertaken on the type of catalog to be produced at Duke when the new cataloging code is adopted nationally.

Avinash Maheshwary, South Asian Bibliographer, has received a grant of $79,520 from the National Endowment of the Humanities for the compilation of a Union List of South Asian Government Serial Publications in the major U.S. libraries covering the period 1858-1950. When the project is complete, the union list will be published and made available to scholars and libraries.

Acquisitions

High staff turnover continued to affect the smooth operations of the department, and the freezing of vacant positions late in the year further compounded the situation. A number of procedural changes have been effected. These include, among other things, the handling of pro-forma invoices, adjustments in processing gift items, the addition to the serials microfiche of monographic titles received on serial standing orders and South Asian materials received through the PL 480 program. Several changes in the Bibliographic Searching section have resulted in an extension of responsibility for the section, and one position was transferred from the serials department to help compensate for the increased workload.

Cataloging

The classification system review of last year resulted in the adoption of the 18th edition of the Dewey Decimal Classification Schedule. The only exceptions being made to the schedules are the literary and biographical classifications and variant editions of any work. It was also decided to accept the Dewey numbers assigned by LC; and since the LC-assigned numbers are available for approximately 85 percent of the material being processed, this has resulted in a considerable saving of time. A guideline statement, "General Procedures for Classification," was prepared to assist catalogers with changed procedures. Although some special schemes are still being maintained for the East Campus Library and the Music Library, virtually no exceptions are any longer being made for the science libraries.

Serials

The serials catalogers were transferred from the Descriptive Cataloging Department to the Serials Department as part of the effort to develop an integrated serials system and a number of procedures were changed to establish smooth and effective flow of work. In order to provide better access to serial materials and to conform to accepted cataloging standards, a number of new procedures have been instituted. The serials microfiche, with additional new information, was issued four times during this past year. The quality and frequency of the serials microfiche catalog will be improved; and it is planned, as time permits, to convert the data base to the MARC format. A printout of Law Library serials presently in the microfiche record has been given to the

Law Library staff to assist them in revising and updating their records for inclusions in the serials microfiche. The duplication of records has been eliminated or reduced in many areas and work to consolidate files has been undertaken. A number of other improvements to records and to providing better access to serials holdings are under study.

FRIENDS OF THE LIBRARY

In September Joanne Sharpe, Administrative Assistant for the Friends, assumed responsibility for the volunteer program begun last year by the Reference department. Under her direction, the program has been expanded and the number of volunteers increased threefold. In addition to staffing the information desk, volunteers are now assigned to a number of departments. By the end of the year, approximately 20 volunteers had contributed more than 1500 hours to the library. The title of "Volunteer of the Year" must go to John Darling, who has contributed 40 hours per week amongst several units of the library. All of the volunteers have provided a real service to the library and to the academic community. We are indeed most grateful to their help. Mrs. Sharpe also organized and arranged for all of the special events and receptions sponsored by the Friends during the year, including the annual dinner held in March. Miss Eudora Welty spoke to an overflow crowd at what surely is the best attended Friends dinner on record. Grateful appreciation is acknowledged to Provost Fred Cleaveland and to Alan Herrick of the Development Office for their financial support of Friends activities.

CONCLUSION

I should like to pay official tribute to the library staff for their significant accomplishments during this past year. They have worked unbelievably hard and many of them have exerted themselves far beyond normal expectations. The success of library programs is a direct result of their efforts. The University community should take great pride in their considerable skills and talents. A special note of appreciation is also due Provost Cleaveland for his unstinting support, to the Library Council, and to many members of the University, too numerous to mention separately. For their help and support, I am deeply grateful.

Respectfully submitted,

Connie Dunlap

(Mrs.) Connie Dunlap
University Librarian

University of Arizona

1976-1977

ANNUAL REPORT
OF THE
UNIVERSITY LIBRARIAN
TO THE
PRESIDENT
FOR THE
1976 - 1977 YEAR

UNIVERSITY OF ARIZONA LIBRARY TUCSON, ARIZONA

041

I. SUMMARY

We moved into the new library building at last.

Perhaps that sentence could stand alone as my summary for the year. So much has been said about the move that for this report I want to iterate only two things. First of all, the success of the building as well as the success of the move can be attributed to a willing and hard-working staff. Second, two staff members need to be singled out for their efforts: Marilyn Norden, who planned and coordinated the whole thing, and J. Robert Adams, who did whatever else needed to be done.

This was a busy year. In the fall we tested a "workbook" which is intended to teach freshmen how to make better use of the library. The test was successful and with some modifications the Library Skills Program will be made a mandatory part of Freshman English beginning this fall.

After the new building opened we revived a user-service which we had tested successfully in the old building. This service, a computer based bibliographic search service, now functions for more than fifty data bases in the sciences and social sciences. Unfortunately users must pay for the parts of the service which cost us operations dollars (line charges, computer time, printing charges, etc.). Staff time necessary for interviewing, deciding on a search strategy, and actually conducting the search are contributed by the Library.

Between spring semester and summer session the Acquisitions Department accomplished the major feat of filing our in-process file into the Main Card Catalog. Filed under title, these order and in-process slips now make it possible for all pre-order searching of the Library's own records to be done in one alphabetical sequence. We should realize significant savings in searching time. Perhaps more important than the time saved by the staff is the current access which this filing provides for our users. Now instead of waiting until a book has been received and cataloged, a user can find out that we have an item (or have it on order) almost from the very day that it reaches the Acquisitions Department.

An acquisitions budget at the two million dollar level allowed us to add more than 60,000 monographic volumes this year. That is a record high. At the same time, the University of Arizona Foundation's interest in the Library, added to our other efforts such as formation of a Friends of the Library group, brought in gifts in excess of 16,000 volumes, more than double the previous annual high.

It is difficult, and probably inappropriate, to quantify the public services aspects of library work, but the services performed cannot themselves be overlooked. During this year the Library created special bibliographies for both large and small groups of users. It created a set of library guides which have been taken off the rack at a rate of nearly two thousand a month. We have created a Spanish language version of our main library guide, and we have in-press a guide to Chicano materials in the Library system. We shelved and circulated more books than we ever have before, and we answered reference questions at a level at least 25 percent above that in the old building. It has been a busy year.

II. MAJOR STRENGTHS

The staff continues to be the major strength of this Library. Libraries are not like supermarkets. People who work in libraries do so, in general, because they feel an actual need to be of service to other people. Our career staff and professional librarians exhibit this service orientation in too many ways to enumerate in an annual report, but our users spell them out all year long. The praise I hear is usually for service "above and beyond the call of duty," then there are also those things which the staff does because of its special knowledge. Collectively the library staff has the skill to respond to virtually any information need.

For now, and for at least a short time into the future, the new building must be considered a major strength of the Library system. As of the writing of this report more than 680,000 people have been tabulated by our automatic exit counters. There was no way of automatically counting users in the old library, but even the most optimistic estimates did not exceed half a million users per year, and 300,000 is a number that many people considered reasonable. In other words the new building, in a year when student enrollment actually declined slightly, seems to be responsible for an increase in library use that may be as much as 400 percent.

A building is more than just attractive surroundings. Many users have told me, I paraphrase, "I used to find excuses to keep from going to the library. Now I find reasons to make extra visits. It's so inviting--and easy to use." The attractive surroundings have increased use, but so has the ease with which materials can now be found; the consolidation of the humanities materials has further augmented use of the building. The collection size, now increasing by more than 100,000 volumes each year is making it more and more likely that any desired item will be found when wanted. And the staff, always eager to serve, has been invigorated by their new quarters. Pleasant smiles have become often radiant.

In short, the major strength of the Library is the Library, in all three of its elements: a useful, usable and attractive building, a collection that is rapidly becoming a research collection in every sense of that word, and an intelligent, expert staff. The total is more than the sum of its parts; the Library is not just a facility but an ambience.

III. MAJOR LIMITATIONS

With the student body size actually decreasing in comparison to last year it seems vain-hope to suggest that the Library must have additional staff. But the lack of staff, now that we have the needed building, is certainly the major limitation we face. A review of the attached departmental reports will demonstrate that virtually every library department has specific staff needs which are genuine and cannot be tied to a simple formula for ratio of employees to students. Decreasing enrollment did not bring a decrease in library use.

A basic staffing need must be faced soon in our circulation services. With essentially no increase in staff in the past two years, still there has been an increase in the use of library materials both inside and outside the building. Within two years we will lose the hardware for our present automated circulation system. A major investment in a new system is the only way to head off massive increases in staff costs as library use continues to increase.

Other specific areas where additional staff is desperately needed are Interlibrary Loan, Center for Creative Photography, Science Library, Oriental Studies Collection, Special Collections, Orientation, and Acquisitions. Details of these needs will be found in the attached reports; briefly these situations are as follows. Interlibrary Loan activity has doubled since 1972 (the last year that any new staff was added to the section). Borrowing from other libraries must necessarily increase as the quality of our faculty and graduate students improves; borrowing from us by other libraries will also increase as the quality of our collection improves. The Center for Creative Photography is young, and it had to walk before it could run, but we began with such a small staff and with such a large job to do that our very success in bringing in larger and larger amounts of material is over-running us. The CCP's "archives" are not the only unprocessed research materials. Special Collections has need of staff to do massive amounts of archival processing. The Hubbell collection nears completion and the papers of Stewart Udall are well along, but a tour of the Special Collections stack reveals many man-years of unprocessed backlogs. Gifts of non-archival materials have also created staffing proglems. This year more than 16,000 volumes were received as gifts. This doubles our previous record high and leaves the staff in charge of gifts with virtually no time to work on periodicals exchange programs or other gift and exchange activity. Our Orientation program has been developed over the past two years based on "volunteer" help from the staff. The result: this past year the Central Reference Department alone participated in more than 200 sessions to teach our students how to be better library users. For lack of staff we have been forced to make the Library Skills Program (a required part of Freshman English) self-supporting by selling the workbooks for a fee large enough to cover not only preparation and printing but also checking and correcting. This part of the education of our students should be covered by staffing within the regular library budget.

In the Science Library building two staff needs are clearly felt. The newly established current periodicals reading room will have to "run

itself." That building, now open more than 100 hours each week during the regular semester, and with the additional foot traffic generated by housing the PLATO Center, demands higher staffing levels than ever before. For reasonable control of the current issues of scientific periodicals it seems especially important that staff for the new area be provided. The Oriental Studies Collection faces the problem of increased use, but perhaps more important it has never been adequately supported from the point of view for all of the languages with which it has to contend.

IV. FUTURE PLANS

With the move to the new building just accomplished, it seems specious to suggest that one plan in the immediate future concerns itself with additional library space, but such is the case. The Music Collection has never had adequate space to become a complete music library. It houses only scores and records, a tiny reference collection, and a handful of basic journals. Meanwhile books about music, music theory, music biography, ethnomusicology, etc., reside in the main library collection. While not ideal, this arrangement has been one which we could tolerate so long as there was room for the scores and records. On several occasions over the years adjustments in the music collection have been made in order to accommodate yet another row of shelving, finally this year we seem to have come to the end of our options. Even as I write this annual report a gift of more than 100,000 musical selections in the form of records, sheet music, fake books, etc., is in limbo while we try to figure a reasonable way to make it available once it comes to us. A major effort to find space for the Music Collection must be made this year.

Our other plans may be a bit more relaxed, but no less important. We have concentrated so hard and for so long on the new building that it seems now is an appropriate time to take stock of ourselves. Where are we as a library? Are we doing all the things we could and should be doing? What are our goals and objectives for the next five years? Are there organizational changes we should make? These questions and similar ones will be in our minds through the coming year. We may make a recommendation for some specific course of action before the year is out.

Staffing needs sketched in the limitations section of this report will also serve as a focus for activity this coming year. We must make efforts to supplement the staff in some of our critical-need areas.

With minor exceptions the University of Arizona Library has never made efforts to supplement its budget with outside sources. The formation of our Friends of the Library group can serve during the coming year to change our funding situation. In addition, there are sources of gifts and grants which we have never made an effort to use. We plan to investigate some special projects and proposals for this year which could have, as side effects of the grants themselves, positive effects on our users.

APPENDIX

COLLECTION RESOURCE STATISTICS

	1975/76	Added 1976/77	Withdrawn 1976/77	June 30, 1977 Total
Bound Volumes				
Monograph		50,935	936	
Serial		20,941	1,049	
Total	1,029,224	71,876	1,985	1,099,115
Government Documents				
Depository		35,964		
Non-Depository		8,898		
Total	672,973**	44,862		717,835
Microforms				
Microfilm	49,816	2,309		52,125
Microfiche & Microcards	781,800	100,000		881,800
Total	831,616	102,309		933,925
Maps	134,704	4,138	10	138,832
Total Holdings	2,668,517	223,185	1,995	2,889,707

**corrected

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EMPHASIS ON PLANNING/GOALS

WAYNE STATE UNIVERSITY

University Libraries

Annual Report

1976-77

Current happenings will become the "good old days" for some. These past few years will probably be recalled as ones of ferment and change, dominated emotionally by insecurity and excitment. The omnific attitude is toward "reorganization" or restructuring. There are, of course, those who insist that it is vital to maintain the present organization or to return to the former good old days, but neither of these stances can be considered suitable. The merging of conflicting growth patterns, the impinging of technologic efficiencies, and the frustration of information overload will not permit us to find stability in the present or recent past. The cry for reorganization is also a delusion. We cannot "cure" our institutions by rearranging components and announcing in authoritative tones that innovative thinking has forged a solution.

The Library System has engaged in activity that, from a narrow prespective, is outside the interests of an academic research library, but from an enlightened self interest viewpoint has, or will eventually, improve access to the scholarly record for Wayne State University students and faculty.

- o During the past year the Library System retreated from contributing direct or released time to the operation of the Michigan Library Consortium; the University's contribution is now confined to overhead operations.
  - oo Wayne State University has used the OCLC data base, accessible only through the Consortium, more than any other library in the State if the number of records used per member of the Consortium is the measure.
  - oo The success of this cooperative effort has produced inquiries of local libraries to form a "subnetwork" or processing center at the University for the general benefit of the community; the requests are now under study.
- o A grant was received from the Michigan State Library Services to extend services into two areas:
  - oo The Detroit Area Union List has now become the Union List of Selected Serials of Michigan since additional

serial holdings of the Michigan State Library Services, Oakland University, University of Michigan at Dearborn and the Detroit Public Library are being added; when the project is completed, this quarterly produced computer on microfiche list will have the holdings and locations of close to 50,000 serial titles.

oo Wayne State University can start participating in the state-wide telefacsimile interlibrary loan network which permits direct communication of document requests to and from the University of Michigan, the Michigan State Library Services and the Detroit Public Library. (Michigan State University can be reached through TWX.)

o The Kentucky, Ohio, Michigan Regional Medical Library, now in its eighth year, has shifted emphasis from promoting document delivery services to that of improving library services within biomedical institutions through an extension of a grant for extramural services.

o Staff at the Law Library helped bring the Michigan Association of Law Libraries through its first curical year.

o The first seminar between the Detroit Public Library and the Wayne State University Library System has been planned for the fall; this is expected to be the start of a redefinition of community responsibility between the two libraries.

o Although the direct beneficiaries of the "experiment" of the Xerox 970 with its accompanying automatic instrument for recording the number of exposures made from titles owned on standard format microfiche were primarily Wayne State University students, the results at the end of the academic year indicated that a document delivery system may evolve that can accommodate the new copyright law, reduce, temporarily, storage problems and still maintain delivery dependability.

o A grant was given to Wayne State University, University of Michigan and Michigan State University (the host institution) to investigate the feasibility of expanding inter-university communication and sharing of library sources through the uses of technology.

o A monitoring method has been devised to allow alumni once more to have circulation privileges; a service which had been curtailed because the numbers of alumni in the Detroit area requesting services conflicted with needs of students and the faculty.

The reason for emphasizing the external factors which have had an influence on the Library System's services the past year is to try to show that technology is perhaps developing faster than we can organize applications for it. The important element to note is that, should the present trends continue, there is no doubt that it will be cheaper in energy and time to move the content of the scholarly materials from a central store to the scholar's locus than it is to have the scholar come to the central store. The virtual journal in which papers ordinarily published in journals will be placed directly into an electronic memory by authors and the reader retrieving them from a terminal is already economically viable. It is only the tradition of scholarship and cumbersome problems of bureaucratic inertia that prevents us from adopting such a system of communication, or one like it. The leisure of the scholar working within a central location--the University--gathering information only as fast as it could be integrated into a plan of studying is now part of the good old days of but a few scholars.

While it is prudent to work towards the future, the present is a culmination of past plans and activities.

Collection Development. Libraries throughout the nation have been examining their collections and purchasing plans. The Library System is no exception and has developed a study design that has been reviewed by the University Library Committee. A history of each academic unit is being prepared to which is attached the present day interests in teaching and research. To the extent the writer of this history can acquire the information, projections for the future activity for the academic unit are also detailed. These summaries are then to be reviewed by the academic units. From these statements the subject interests of the University will, it is hoped, be identified. Statements on collection activity can then be made in terms of format and type of publication as well as language and geographic coverage.

Periodical Storage. When materials are acquired, the responsibility of preserving begins which in turn means storage space. The Library Committee examined various options for the storage of periodicals for the Kresge and Purdy Libraries, from microformat to motorized compact shelving, in terms of dependability of access, ease in explaining storage arrangements and costs. The best approach seemed to be to house the periodicals from the Kresge, Purdy, Science and the Storage Libraries published before 1950 in one alphabet in open stacks, but placed in "compact storage".

Library of Record. The periodical holdings of the four library units contain duplicates. Since the reason for bringing the periodicals into one alphabet is to maximize storage space, it is cost ineffective to store at the same location multiple copies of the less used materials and hence the concept of Library of Record evolved. As the use of a particular title decreases, each library unit withdraws multiple copies to the point where only one copy is kept for preservation purposes. In the instances where there is duplication of titles among library units, one library unit is designated as the Library of Record for that title and will be responsible for preserving it for the University and the community. The other library unit(s) will be called the Library of Convenience and if need be, relinquish the title to the Library of Record. Under no circumstances would a Library of Convenience place any of such designated titles into a storage unit.

Statistical Reporting. A continuing effort of the past six years was to develop a more accurate and consistent reporting of operational data as well as information on our collection management. This is the first year in which all library units were able to report their activity according to a model designed five years ago. There are still two areas on work load activity that need to be formulated and discussed so that a better picture of each year's operation can be acquired through numbers. The first is on document delivery of all kinds other than those presently reported under circulation and the second is on the acquisitions processing.

G. Flint Purdy Library. When the Purdy and Kresge complex were occupied in 1953 a subject divisional arrangement was used. Because of the growth of the library collections and with the reductions in allocations year by year, it was no longer possible to maintain the separate divisions. It has been reported in previous years the steps in the reorganization of the operations in the Purdy Library. In April 1977, a librarian was appointed for the Purdy Library which now, functionally, means there are five public service units. These five centers are responsible for library services to specific faculty and student groups and may even include the management of branch libraries as the case with the Shiffman Library where a new reference library was created in the College of Pharmacy and Allied Health.

The Library System. With a discreet public service unit now in each library building (other than in the Storage Library) it might appear that the effort has been to decentralize the Library System. The aim is to create a library system with dependable services from all library units and which can give full support to the increasing interdisciplinary approach to research and teaching. While words do not make reality an effort to emphasize that the University Libraries form a "system" is made by calling four of the library units by the name of the building in which they are located rather than by the collections they contain. As the University changes, so can the library organization as was the case with the Pharmacy collections which until December were housed in the Science Library. Between the fall and winter quarter they were moved to the Shiffman Library.

Communication. The Library System began the publication of a Newsletter primarily for faculty. The previous "For the Faculty" publication was being used too infrequently to convey the changes within the Library System to the faculty with sufficient dependability and accuracy. The Newsletter will be published only when there is sufficient information to fill the four pages format.

Administrative Relationships. In 1973, the Library System established an administrative structure consisting of administrative staff, the Council of Department Heads, a group of resource committees and the Librarians' Assembly. With the distribution of committee reports, minutes of Council and departmental meetings, Library Staff Memos and a Library Systems Manual, a communication system functioned so that presumably all staff who needed to know had the opportunity to get information to accommodate for their respective responsibilities. The system seemed to work well until the winter quarter when it became apparent that the administrative structure and the communication mechanisms were being used as much for maintaining territorial prerogatives as for problem solving and for

sharing information. It is evident that a study will have to be made of our administrative arrangements as was done in 1973.

There are other events and situations that need to be noted.

Water Damage. The roof of the Purdy Library was under repair, but the heavy rains of the Thanksgiving weekend undid work of the repair crews. The periodical storage area was flooded. Thousands of volumes had to be relocated and it was several months before we had sufficient confidence in the repair of the roof to remove the plastic sheets covering some stack areas. The 200 bound volumes and 150 unbound journal issues that were soaked were immediately frozen. Through the generosity of a local manufacturer with a freeze dry process, these water damaged materials have been restored to an useable condition. Other roof leaks have now occurred in the Kresge Library. The Science Library also has a water problem, not from the roof, but from the air conditioning system.

Serial Control. The complexities of serial control is evidenced by some of the projects undertaken. (i) The Library System, like many other libraries in the nation, has had to cancel subscriptions. This activity is not profit making and some (both foreign and domestic) vendors are no longer able to fill our complex needs. This has meant we are forced to cancel a subscription with one agent and place them with others in order to protect the continuity of receipt of titles. (ii) Classified Serials which the Library System had not listed in the Union List of Serials are now being added. (iii) When the card catalog was divided several years ago, different filing rules were used. This meant the Union List alphabetization did not match the card catalog. Realphabetizing the Union List in turn means that the library unit wishing to shelve the unclassed serials in the same sequence as in the Union List will have to physically shift the volumes of serial titles.

Bibliographic Control. It has already been noted that the Catalog Department has exploited the Ohio College Library Center's cataloging system. This points up, however, a growing bibliographic interdependence among agencies and a growing dependence on technology. We now depend upon a communication industry, a computer industry, a small group of decision makers and technicians in Columbus for maintenance of a data base and the Ohio utility industry to see to it that there is sufficient energy to keep the Columbus computers whirring. Our faith in the dependability of our social and industrial agencies is indeed great.

Physical Facilities. Space for library activities must always remain in the forefront of our thinking because the scholarly record grows faster than library buildings are constructed. When the shift of the unclassified periodicals is completed from the Purdy and Kresge Libraries to the Science Library, there will be space for two years growth in the Purdy and Kresge Libraries. If this storage method turns out to be satisfactory, the remaining basement space of the Science Library now occupied by the Computing Center can be utilizied to store the periodicals through 1960 giving us another year. By 1981 we shall have no more storage space except to take over reader stations. The only other options appear to be for the Library System to obtain space by an addition to one of the library units, by obtaining new "warehouse" space or perhaps office space for the technical services operations.

Storage Control. All materials with an imprint date of 1969 or before are now automatically placed into our storage library unless it is indicated that they should be cataloged for open shelves by a book selection officer. The materials placed in the storage library are assigned a sequential serial number. Added to this number is the size in centimeters. The books can remain in a relative location, but they can also be rearranged by size for efficient storage. Over 40,000 volumes have been reclassified in this manner. The remainder of the materials in the Storage Library that are arranged by shelf number should be reclassified under this numbering system before the next year ends. This experience has shown that a sequential number system can be accommodated within our bibliographic control processess and probably should be extended to the in-process materials as well as the little used storage material.

Personnel. Although the personnel changes at the professional and the para-professional level have been within the usual numbers, the turnover of Office Assistants has been unusually high. It also takes a long time to find replacements. The University salary scale apparently is just not competitive with the city government and industry. Our computer application program has been stopped since January because of our inability to replace the programmers.

* * *

This report has identified some of our accomplishments and some of our plans that have occurred or developed this past year. The array is significant considering the Library System has had to operate under reduction planning and retrenchment like other units within the University. One hears that the morale is low. When there isn't anything else to complain about, or perhaps when other aspects are so overwhelming, morale is what can be discussed without controversy. There is no evidence that the Library Staff has been affected by low morale; the accomplishments are too many to suggest disillusion or even crisis. There is also every evidence that the major problems facing the University Library System have been isolated and either a plan for study and action is already underway or there has been a start to create such a plan, for example

1. The collection management development review is underway and involves the entire Library System and all faculty units. While it will be a slow process to gain agreement on even general matters, the spirit and attitude is one which will bring order into our acquisitions program.

2. An administrative review is again underway. There are individuala who went through such a review previously and can bring stability to the final results. There are new staff to bring new perspectives to our organization.

3. The Library of Congress has decided to adopt the new Anglo-American Cataloging Code fully by 1980. This decision by our national library will bring us closer to having a planet-wide cataloging code. As a research library, we must participate in this bibliographic reorganization. The Library of Congress has also decided to close its card catalogs and to continue them with computer sensitive records. We must follow suit. Our library staff are equipped to study the problems with other research libraries within the State and to work with them in deciding how these "change overs" should be accomplished.

4. With the changes in bibliographic control and the increasing dependence on computer sensitive records the library organization and how to expoilt it is undergoing rapid modification. Both faculty and students have to be taught how to exploit and to use library resources. Library enhancement programs that begun in the past year are in the process of being expanded. Experimentation in methods is continuing. Next year's report should reveal accomplishments.

University of Western Ontario

UNIVERSITY LIBRARY SYSTEM

Report of the Director of Libraries

During 1976-77 a number of our earlier plans were implemented, special projects were completed, studies were initiated, and constructive steps were taken to deal with several critical and continuing problems.

We moved forward in the achievement of a number of our goals. Progress was made in improving serials services throughout the Library System, and in strengthening the Government Publications Collection; electronic security systems were installed in two additional libraries; and planning was undertaken to determine the desirability of more extensive use of microforms for storing library materials and maintaining library files.

Considerable time was spent in planning, based on the belief that library service can be improved by determining what needs to be done and developing effective ways of bringing it about. We cannot, of course, be certain about the future, but we can be reasonably sure of what the possibilities are; for example, we do not wait to see what will happen before planning what to do about it. Instead, our approach has been to decide what to do and how to do it before action is required; thus we can detect deviations from the expected and respond to them effectively. The planning effort, therefore, has been intensified in order to provide the means for confronting the future directly and realistically.

I would like to express my appreciation to the library staff for their many contributions during the past year, for their flexibility and resilience to changing conditions, and for all of their efforts in providing improved services to the University community.

Two major concerns during the year were: the impact of spiralling inflation on all areas of the Library System's operation (especially the rising cost of all types of library materials, and particularly periodical subscriptions, combined with the unfavourable currency exchange rate);

and the pressing need for additional space to adequately house the growing collections.

LIBRARY SPACE REQUIREMENTS

Although library space requirements have been described in previous annual reports, the following is a brief summary of the present status of the problem: three libraries (Education, Engineering and Music) are severely overcrowded. The Research Depository Library, an on-campus facility to house the overflow of less-frequently used materials from the eight libraries, will be filled to capacity within the next two years.

A number of approaches have been taken to resolve the problem.

A long-range plan for the provision of additional library space was approved in principle by the University Library Council, the Senate Committee on University Development, and the University Senate. This plan, which involved considerable study and discussion over a two year period, is the most realistic solution in terms of, first, providing space needed at the least cost, and, second, reducing operating costs. The implementation of this plan is contingent, however, upon securing capital funding. Since no significant addition of space is likely to be provided until sometime in the 1980's, a number of steps have been taken to make the best use of our existing space.

Since 1972, the Library System has been engaged in a systematic program for the selective development of collections. Only those materials which clearly support the instructional and research programs of the University are acquired and processed. The program has resulted in existing space being filled as slowly and as carefully as possible. With severe overcrowding, other approaches have been taken to conserve and extend the use of existing space: additional shelving has been installed in those libraries where space was available; microform materials are acquired in lieu of hard copy whenever it is possible and practical in terms of usage; unnecessary duplicate periodicals titles have been cancelled; and current periodical subscriptions are being reviewed on a continuing basis. The next step is to weed the collections.

Guidelines for weeding the collections were approved as policy by the University Library Council on November 5, 1976, and by the Senate Committee on University Planning on April 27, 1977. This policy is directed toward transferring infrequently used materials from prime library space to the Research Depository Library, disposing of unneeded duplicate materials, and discarding mutilated and damaged materials.

Since the library collections have never been thoroughly reviewed, from the point of view of withdrawing obsolete and unsupportive materials, it is anticipated that some existing space can be cleared. This will make room for new and much needed material until space can be made available by additions to The D.B. Weldon and the Natural Sciences Libraries.

On May 11 and 12, 1977, the members of the Executive Committee of the Library System met to formulate recommendations for additional means to conserve existing shelving space.

Short-term measures have been taken, and will be continued, to make the best possible use of our existing space. It must be realized, however, that these are only stop-gap measures. A commitment to acquire new materials to support the University's programs requires an equally strong commitment to the provision of additional space to house the materials.

MISSION/GOALS/OBJECTIVES

Goals and objectives for 1976/77 were not articulated in last year's annual report because the departing Director felt it an inappropriate exercise in light of his imminent departure. However, goals and objectives are implicit in the operations and conditions described herein; and achievement and failure can be gleaned and inferred from what is reported.

The overall goal (or mission) of OSU Libraries is conceptually simple; but fulfilling the function of providing optimum resource support and services in all their dimensions for the University's research and teaching missions and for the general cultural/intellectual/information needs of the academic community constitutes a challenge of considerable magnitude. And achievement of this broad goal is elusive and very difficult to measure even in part, let alone in total.

The Head of Department Libraries did state goals/objectives in last year's report, and his relevant comments for 1976/77 follow:

"Since 1973 Department Librarians have been asked to state their short-term goals for the coming year. For 1976/77 they listed 123 short-term goals. Eighty-seven were considered accomplished or well on their way. A few accomplishments were:

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1) Organized Latin American Banks material. (AGI)
2) Prepared Library guides for Faculty Graduate and and Undergraduate students. (BOS)
3) Wrote a guide to the use of the spectra catalogs. (CHE)
4) Weeded and transferred back volumes of periodicals. (CHI)
5) Wrote a program of requirements for the expansion of the library. (COM)
6) Wrote a weeding policy and began weeding program. (EDU)
7) Inventoried all serial holdings. (ENG)
8) Expanded class lectures and instructional aids. (ENR)
9) Started a Newsletter to Faculty. (FIN)
10) Moved into new and larger quarters. (FOR)
11) Weeded book and serial collection. (GEO)
12) Prepared serial holding records for serial conversion. (HEA)
13) Began an acquisitions list for Map Room. (HIS)
14) Weeded pamphlet file. (HOM)
15) Developed a student assistant work manual. (MAT)
16) Transferred monographs and scores from Main Library. (MUS)
17) Revised four slide/tape programs on library use for undergrads. (PHA)
18) Completed listing of circulatable serial units for input into LCS. (PHY)
19) Prepared guide to Library. (SOC)
20) Acquired an outside book return. (VET)

The Head of Department Libraries is convinced that our accomplishments would be greater if we were not faced with the same problems year after year. In a list of 92 individual problems the most frequent were: shortage of staff which includes student assistants, professional and library assistant personnel; inadequate budgets for serials, monographs and binding; lack of adequate space for growth, patrons and staff; lack of equipment funds especially for micro equipment; poor physical conditions in libraries including poor custodial service; delays in receipt of new and ordered materials; and continued book thefts.

In an effort to balance the picture department librarians are asked to provide some reasons for rejoicing. This year they listed 82 reasons. Those mentioned most frequently were their great, enthusiastic, and competent staffs; their courteous, patient, and cooperative patrons; their strong support from their faculty; completion of the serials conversion project."

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GOALS AND OBJECTIVES FOR 1977/78

The listing below in no order of priority, and they represent both long- and short-range goals/objectives. They are my assessment of important issues facing us, but I do not at this point know how many can and will be accomplished in 1977/78. We shall endeavor to deal in some measure with all.

* Analysis of the current organization of the libraries with intent to reorganize where deemed appropriate.

* Comprehensive review of personnel policies and procedures in order to ascertain currency and adequacy of coverage. Revision and formulation as necessary.

* Examine current criteria for allocating funds for books/serials and determine wherein new rationale are needed. Devise new allocation criteria schematic.

* Formulation of collection development guideline statements relevant to all areas.

* Comprehensive analysis of the need for additional staff (full-time and hourly) throughout the system. Devise a five-year plan for financing the increments.

* Ascertain and investigate the existence of significant departmental library collections which have been developed and are maintained outside of the Library's control. Report on the level of such resources, with recommendations for action.

* Determination of the feasibility of timing for change-over to an on-line catalog, given whatever deficiencies in the current design require remedial action prior to implementation.

* Determine the minimum number of terminals required to be in place for implementation of an on-line catalog.

* Examination of the advisability of Regional Campus Libraries connecting with LCS for access to Columbus collections only or access plus use of LCS as a local circulation system and eventual on-line catalog.

* Re-examination of the Library's loan/fine/lost book charge policies to determine if revision is warranted.

* Completion of Phase II of the Serials Holdings Conversion, namely inventorying/comparison of LCS records with shelf holdings and partial conversion of summary holdings statements to physical pieces for circulation purposes.

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* Reduction of the time lapse between receipt of materials and their availability to library users.

* Comprehensive analysis of the state of the overall library budget.

* Development of a proposal for a comprehensive library use instruction program.

Goals, 1977/78

For 1977/78, a number of performance goals have been established. Some key ones are:

1. Develop a comprehensive planning document for the library system (to be submitted to the Administration in January 1978).

2. Develop a plan to reach the average of the median figures for the University bench mark institutions within the next five years in the categories of volumes, staff, expenditures, etc.
3. Seek increased grants, external funding, and gift support.
4. Review the allocation of personnel and book fund resources.
5. Review research and publication opportunities for the staff.
6. Improve responsiveness to users.
7. Realign service points in King South.
8. Complete the collection development policy statement.

I would be remiss if I did not express my gratitude to the Library staff for their efforts during the past year. Also, I must thank the University administration for their support of the Library programs on campus and their successful efforts in keeping the book budget at an adequate level.

The major problems facing the Library system involve staff and space needs. These matters will be fully addressed in the long-range planning document to be submitted in January 1978. The staff levels have not kept pace with increased demands for library services. Reduction or modification in services will be necessary in the immediate future if this problem is not solved. Space is limited in a number of branches and planning must begin immediately to find an acceptable solution to this problem in the Library system.

One way to ease the staffing problem is by the installation of automated procedures in the Library. The highest priority is for an automated circulation system to handle the work-load at both the main building and the branches. It is also possible to connect by telephone lines the community college libraries to this system. The Library must also develop a COM catalog, convert its records to the SOLINET data base, and change classification systems at the earliest possible time.

The Library is facing an extremely critical period in the next few years. If the University makes the investment in automated services along with other upgrading of support to the Library, what is now a fairly good research library can be turned into a much better one. If some of the basic problems in the Library system are not addressed soon, the Library faces a bleak future. A concern must be developed on campus for the future development of the University Library. Attention must be given to increasing the recognition of the essential role that the Library system must play in the life of a quality university. There will never be an excellent library on this campus without this recognition by all segments of the University community. Earning this recognition presents a major challenge to the existing Library staff. It will not be easy for the University to set a high funding priority for the Library system in the future since competition for funds will continue to be keen, but the University simply cannot afford to miss the opportunity for further development of the University Libraries.

Paul A. Willis
Director of Libraries

UNIVERSITY/LIBRARY RELATIONS AND SUPPORT

THE SETTING

In last year's Annual Report, the questions of the Libraries' potential and its limitations were raised. To be able to even consider these questions, it is first necessary to stop and see where we are. An effort has been made during the past year to do this. To be able to provide the best possible service, it is necessary to improve coordination and planning. The goal is a more flexible, efficient and responsive library.

As this report shows, there were many accomplishments during the year, all of which can be credited to the Libraries' dedicated and hard working faculty and staff. The year also produced some major problems for the University Libraries which had to be addressed. Both the accomplishments and the problems are described in the body of this report.

As libraries grow, in collection size and in service potential, the cost of care and maintenance increases especially on an per item basis. After a certain size (and that point is still debatable) if economy is a consideration, there is a need to set limits to growth. It has to be recognized that the available financial resources will never equal the demands. Therefore, alternatives will have to be considered and actually implemented. The sooner an institution recognizes this reality, the sooner it will be possible to plan for the future rather than one day facing the hard reality that times have changed and that the future of the research library is not what it was yesterday. The University Libraries and the University can delay dealing with the inevitable crises after the situation is upon us, or it can do what needs to be done now and avoid the crisis.

If this report recognizes no other factor it does place an emphasis on planning that will facilitate the development of the University Libraries on both a long and short term basis. No mistake is as incapacitating as lost opportunity.

One of the basic criticisms of the University Libraries during the year was of the initiative being taken to look to the future. Change was proposed and as is so often the situation, change creates unrest. On the positive side was the concern of many academic faculty about the library which surfaced. Many faculty have for the first time expressed their interest in the Libraries. It is also evident that there will continue to be more interest by the academic faculty in the programs of the Libraries.

Whatever direction is finally agreed upon will require the efforts of the University Libraries as well as the cooperation of all the segments of the University community. A successful culmination of any plan would be impossible without the support of faculty, students and administrators. The University Libraries must carefully define its role in moving forward to be both leader and partner in defining the future. If the University Libraries can unify and clarify its internal programs, if it can work with greater harmony within itself and with the academic community, it can improve its services and its effectiveness.

UNIVERSITY OF TORONTO LIBRARY, ANNUAL REPORT 1976-1977

Part 1 - General Report of the Chief Librarian

This will be remembered as the year our Library began using microcatalogues as the principal means of access to catalogue information. Many other things happened as well, but nothing that represented so radical a change.

Microcatalogues

After ten years of converting catalogue records to machine-readable form, and one year of intensive planning and preparation, we closed the card catalogues at the end of June 1976 and began to rely on microfilm and microfiche. As a result, the central catalogue became available at 67 different places in the University, instead of one, and on the whole the change was greeted with enthusiasm.

Because ours is the first large library to take this step, it has attracted many queries and visitors from other North American libraries in which similar steps are being planned. Because we were the first to create a microcatalogue of such size and complexity (about 1.25 million records with six million access points) we have had a fair amount of difficult pioneering to do, both bibliographically and technically; the outcome is a catalogue we can take pride in but also one which we can refine and improve in future editions.

The decision to close the card catalogues was made in 1975 when we had warning of new reductions in our base budget, and was seen as a choice between two options: either we could go on building the card catalogues and drop the machine-readable base which was being used for fairly limited purposes, or we could close the card catalogues and make fuller use of the mechanized file. It had to be assumed that the extra cost of producing and using microcatalogues would be more than offset by savings in card-production and filing and by other savings inherent in the steady improvement of computer technology.

Review of Budget Allocations

The economic need for libraries to apply computer technology to a wide range of their operations, especially the production and use of records, is widely accepted and has been well documented, for instance by economists Baumol and Marcus in their 1973 study for the Council on Library Resources. Although Toronto has been pioneering in this field, our budget for supplies and services (including computer services) is not out of line. In the summer of 1977, a review of the latest available figures for the fifteen largest American academic libraries (among which Toronto would rank tenth) and the seven Canadian universities which belong to the Association of Research Libraries, the level of our

expenditure for supplies and services appeared in fact to be slightly below the general trend. The same review showed that Toronto's library system, taking into consideration the size of student enrolment and annual volume of library acquisitions, is slightly understaffed compared to either of the other groups. It also showed that Toronto, for its size and the level of its total library budget, spends a normal percentage of its money on purchase of material.

The one really distressing trend shown in the review is the downward trend in Toronto's allocation of budget to its library system. In the eight years from 1967-68 to 1975-76 the University's expenditure on libraries, as a proportion of its total expenditure, dropped by one-third as shown in Figure 1. The Central Library budget, which is about 80 percent of the University's expenditure on libraries, fell at the same rate even though, during that period, the Central Library had taken on new responsibilities such as the Engineering and Pharmacy and East Asian and Map libraries, plus the new Robarts and Thomas Fisher buildings and the increased use which they have generated.

The effect of this trend on the Central Library has been a succession of cuts amounting to $1.3 million in base budget over the past eight years. My staff and I have applied these cuts to everything except the book budget, which we have so far managed to protect at the expense of everything else. However, as explained in my last several reports, the fixed dollar amount in our book budget has shrunk in purchasing power to less than half the value it had in 1968-69, and continues to shrink. In 1976-77 it has shrunk so much that we could buy scarcely anything except newly published books and journals needed to keep the collections up-to-date, and our standing commitments to that category of material forced us into an overexpenditure of $200,000. Fortunately the University was able to cover this overexpenditure, and for the following year (1977-78) it built that amount into our book budget plus an extra $100,000 as a hedge (5%, a rather low hedge) against a steady rise of 12% to 15% in the price of books and journals. Unfortunately, even this hedge was cut down to nothing by the drop in value of Canadian dollars, compared to other currencies, between budget-time and the beginning of the new fiscal year in May. Unless the University takes immediate action to maintain the purchasing power of the bookfund at least at the 1976-77 level, the vital academic resource which resides in the collection will quickly go out of date and will lose its ability to support present and future academic work.

Operations

Trends in operation and use are indicated by the following figures selected from the departmental reports. For instance, the Order Department reported a decline of 17.2% in the number of monographs processed, and the Serials Department showed a decline of 17.9% in the net number of new titles added. While the rate of growth declined, there was some headway made on reducing backlogs of uncatalogued material: the number of titles catalogued rose by 8.5% in Rare Books, 13% in Technical Processing, and 29% in the Catalogue Department. Meanwhile the University continued to offer and develop its programme in all fields of study, and

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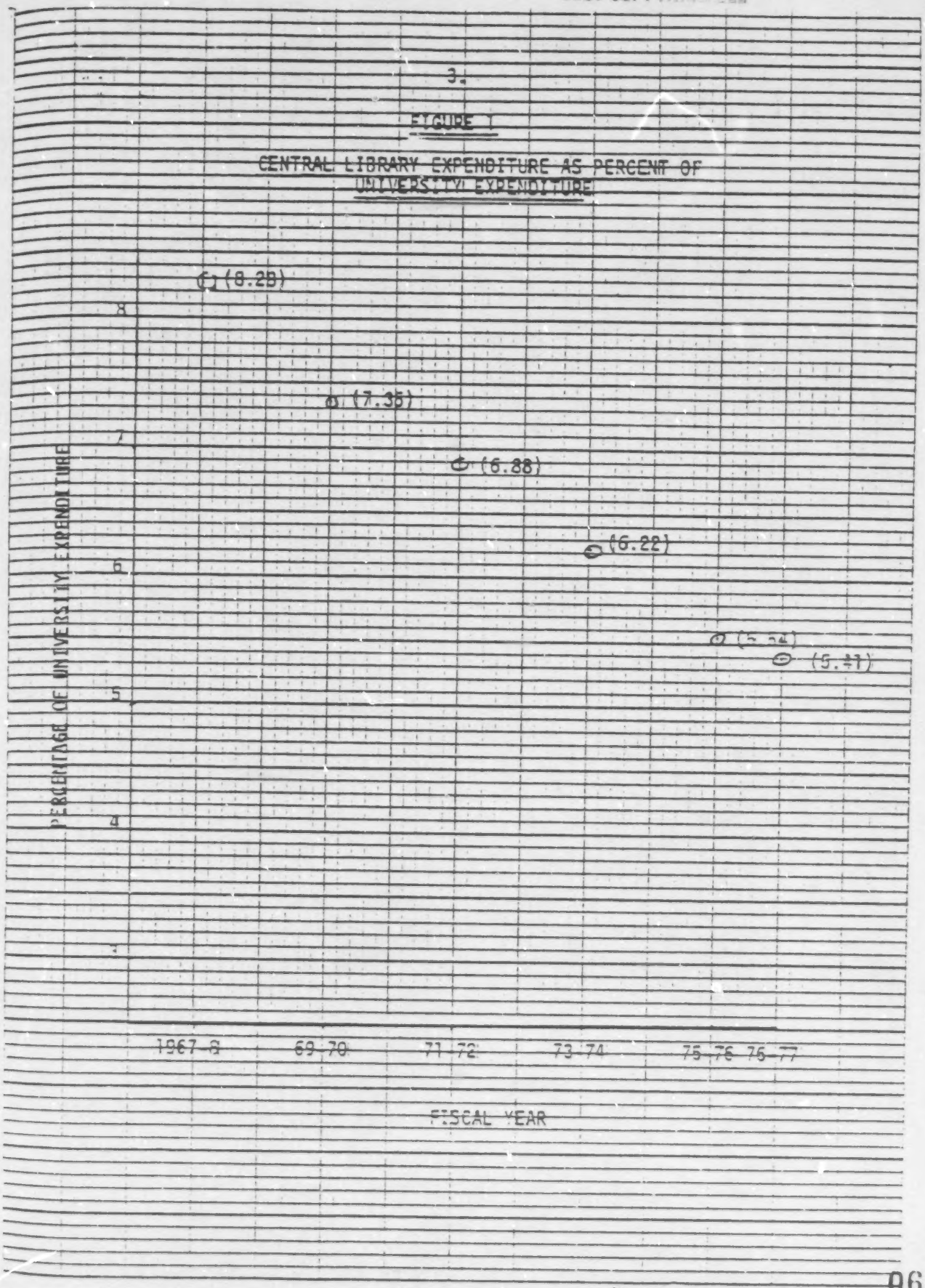
FIGURE 1

CENTRAL LIBRARY EXPENDITURE AS PERCENT OF UNIVERSITY EXPENDITURE



recorded use of the collections rose by 7 per cent to an all-time record as shown in the appended tables. In the Science and Medicine Library the number of loans rose by 39% in Rare Books and the University Archives, 29% in Government Publications, 21% in the Microtext Room; loans to external readers rose by 28% and the Library established institutional memberships with a sliding scale of fees to help offset the cost of such service; students attendance at formal sessions of instruction in library use rose to nearly 5,500. Clearly the demands on the Library and its staff continue to grow while the ability of the collections and the reduced staff to meet these demands is lessened.

Studies and Reports

The report of the Management Review and Analysis Program (MRAP) was received at the end of July, the result of nearly two years of labor by the Study Team and its nine Task Forces. To help me deal with its nearly 200 recommendations I appointed a small Working Group on MRAP Implementation. By the end of the year each recommendation had been considered and dealt with in some way, and a follow-up by the Working Group is slated for the ensuing year. The main thrust of the report was to increase the amount of communication and consultation within the Library, and for this purpose it has brought about more formal structures and procedures than we had before.

The University's Advisory Committee on the Library System, chaired by Professor William Saywell, spent several weeks discussing the report of the Task Force on Library Service in the Sciences, and eventually adopted a modified version of it. Some further changes were made by the Academic Affairs Committee to which it was referred for approval. The final version provides a formal procedure for the establishment, funding, co-ordination, review, and disestablishment of "local" libraries.

arrangements. The Sibley Library Phonorecord Catalog was published early in 1977 by G. K. Hall and Company in 14 volumes, constituting the first catalog of music recordings published by that company and serving as a reference tool for other music libraries. Other publications included: pamphlets constituting guidelines for the use of the catalog, the phonorecords department, circulation, use of rare books and reference tools, and interlibrary loans. Professional staff Karen Hagberg, Charles Lindahl, and Ruth Watanabe contributed articles to professional music library literature.

The Friends of the University of Rochester Libraries (FURL) continued their interest in our libraries through a wide variety of programs and special events. The Auction supplied $3,300 to the book purchase fund, and the Friends and students were able to peruse the holdings of forty different booksellers at the 4th Annual Book Fair. An endowment was established with $1,000. Another fund raising project was the set of six black and white post cards imprinted with engravings and woodcuts (e.g., "La Mer des Histories," Lyons, dated 1491). Student book prizes were once again sponsored by the Friends - an important activity in keeping with the desire of the library staff and Friends to educate and perhaps develop future Friends. We were also indebted to a nucleus of "Friends," and others, for the establishment of a new endowment in honor of Francis J. D'Amanda, for the purchase of rare and special materials in areas of the Humanities. The highlight of the year was the gala, "A Dickens Evening," held in the Great Hall of Rush Rhees on 21 January 1977. Food, drink, dress, and entertainment all evolved around Charles Dickens and his period in literature and history. It was a unique evening in the truest sense of this word.

III.
Conclusion

The record of accomplishments and the detailing of problems and major concerns in the library divisions represent an effort to paint a realistic picture of a large body of people and activities on a crowded and varigated canvas. One activity on the part of the Acting Director, which will formulate a complimentary document to this report, was the compilation and writing of a Needs Assessment Survey - to be completed in the next fiscal year.* Some issues and trends that seem to emerge from the reports of the activities of the university libraries should be specially noted in these concluding observations.

We have recognized the need for closer attention to collection development in all of its aspects, including the impact of money and money sources. More and more institutions are relying on outside sources of funding, and we have demonstrated this in our applications for a NEH grant and a proposal to the Foundation Historical Association, Inc., in Auburn, New York, to aid refurbishing bindings and adding materials to the Seward Collection. Our efforts to educate users in utilizing the library to a fuller extent through bibliographic instruction

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*once again, common sense dictates noting that this report has been completed.

focuses on the problems of staffing and planning. Our desire to contribute to research and scholarship by publishing the Library Bulletin is another of our money problems: as laudatory as this publication is, we must examine what the funding of it does to a budget already strained to its extreme. As a library we face other issues and trends our counterparts nation-wide are discussing - closing the catalog, the spiraling costs of continuations, space needs, security problems (e.g., theft and mutilations), and money, always money. The library is people and programs, and both cost money. We must seek not only ways to utilize money better but we must continually educate those who are responsible for providing funds to us. We must, for instance, examine philosophies of funding: the library system, which serves all disciplines, should never be thought of as competing with academic departments or colleges for money. The Library embraces every segment of the academic community as a service which permits individuals and segments of the University to pursue knowledge in an organized fashion. The formula for allocating money to the River Campus libraries, for instance, is based primarily on the programs of the College of Arts and Science - yet we have three departmental libraries that give full service to other colleges (Education, Engineering, and Management).

The shape of the academic library in the future depends desperately on how we shore the wobbly foundation we have at present. Certainly we must decide soon what we can accomplish with our reduced and reducing resources. It may appear we devote more attention to economics and perhaps have become a slave to this field; not so, but we are ever mindful of how difficult it is to match the ideals of learning and scholarship with the realities of available funds. We consciously seek to serve the many as well as the smaller group of the few who bring honor to our university through their learned activities.

In reporting what we have been doing during 1976/77 the writer of this report is unable to leave unsaid the needs of the future as well as praise the accomplishments of the year under scrutiny. It is to the credit of a wonderful and extremely accomplished staff - at every level - that the good and heartening activities can be presented. In particular, it must be noted that most of this report has been composed from information provided by the major department heads in all libraries. The continued interest of the Central Administration should be acknowledged, with a strong hope that this interest and concern will not diminish when we are able once again to have a permanent Director of Libraries.

Respectfully submitted,

Margaret Perry

Margaret Perry, Assistant Director of Libraries
for Reader Services
Acting Director of Libraries (1 September 1976-
30 November 1977)

II. THE COSTS OF LIBRARY OPERATIONS

Three trends with serious implications for the Library, all of them related to the operating budget, continued their development in 1976/77. They were: continued inflation; a fall in the value of the Canadian dollar against many other major currencies; and a further decline in hours of staff time available to the Library. These factors impinged on virtually all Library operations. It is perhaps less obvious, because less immediate, that their future effects will be more serious than their current effects, since the long-term quality of collections and services depends on consistent and regular development. There is a brutal fact which every member of the University community must confront: the University Administration has neither the power nor the means to offset or reverse these trends. That the Library has been able to continue functioning is attributable to readjustments within the University's budget, mostly in the nature of personnel reductions, involving nearly all faculties and departments. As will be shown, the Library too has made its sacrifices. But the point has now been reached where no further sacrifice is possible, without severe and adverse effects on the quality of collections and services.

A review of spending by major categories will be found in Appendix C.

The money spent on salaries and wages, including part-time student assistants, increased from $4,263,647 in 1974/75 to $5,344,412 in 1975/76, to $5,755,893 in 1976/77, and will increase to an estimated $6,350,000 in 1977/78. These amounts expressed as percentages of total Library expenditures for the four years are 67.4%, 69.8%, 66.8% and 68%. No striking trend is discernable.

However, it has been calculated that while 68% of the Library's budget is spent on salaries and wages, and while the amount spent on salaries over four years has increased by an impressive two million dollars, there has been an effective reduction of 76.5 full-time equivalent positions in the Library establishment. This reduction was made up by a loss of student assistant hours equivalent to 30 positions, a loss of 19.5 full-time staff positions struck from the establishment, and a loss of 27 full-time equivalent positions (51,675 working hours) arising out of increased vacations, shortened work weeks and other time benefits.

Considering that the Library establishment as of July 1, 1977 numbered 402.5 positions and that funds for student assistants were sufficient for another 48 full-time equivalent positions, for a total strength of 450.5, it is clear that the loss of 76.5 positions will have had telling effects. There has been in just the past three years a decline of 14.5% in staff. Users of the library are beginning to note the effects in shorter hours, diminished service, untidy stacks, cataloguing delays, errors in records. Yet statistics reveal that the demand for Library services is increasing.

As for collections, the amounts spent in 1974/75, 1975/76, 1976/77 and projected for 1977/78, with percentages of the total Library budget shown in parentheses, are: $1,629,797 (25.7%); $1,885,287 (24.6%); $2,108,164 (24.5%); and $2,240,000 (24%). As a proportion of the Library's expenditures, collections have declined slightly; but the budget has increased by over $600,000, a significant amount in these times, and an indication that the University administration regards collection development as essential to the processes of teaching and research.

But again it is necessary to draw attention to an ominous trend. Despite the increases to the Library's collections budget, the number of volumes added to the collections has declined. There were 96,258 volumes added in 1974/75. There were 92,843 volumes added in 1976/77. It is expected that expenditures of nearly two and a quarter million dollars will result in the addition of about 90,000 volumes in 1977/78.

Subscriptions to journals continue to demand a large share of the collections budget, although more than a thousand subscriptions were cancelled in 1976. Journal prices increased by more than 9% in 1976/77. As for books, the analysis of invoices paid by the Library shows that from 1975/76 to 1976/77 books from the U.S. increased in average price from $9.80 to $11.70, books from the United Kingdom increased from $9.40 to $11.76, and books from Canada from $7.90 to $8.78. For the mix of books acquired by the Library system, the average price increased by more than 21%.

Thus the combined effects of inflation and currency revaluation more than offset generous increases to the collections budget.

What the future would appear to hold, then, is continuing reductions in library services and in the scope of collections development. As stated above, the University is not in a position to buy the Library out of its difficulties.

It should be noted that the Library is not alone in facing such predicaments. Every department and faculty on campus could make a similar statement in regard to present economic realities. But the Library is almost unique in reporting annually to Senate, and takes this opportunity to draw that body's attention to one example of a general and pervasive situation.

B. Budget

As in the past, the budget situation within the University Libraries is a most uneven one, with the dearth of funds available to higher education more apparent in some categories than others. Separate treatment is given to each of these areas [for the Materials Budget, see Chapter on Collections], as follows:

1. Personnel

. Salaries for library faculty continue to be a matter of significant concern. The 1976/77 increment to the 1975/76 salary base totalled only 4.9%, inadequate to meet the rise in the cost of living, much less to provide flexibility in compensation. The Libraries were able to move only one-half of the distance toward the floors recommended for faculty

salaries by the Bloomington Faculty Council, yielding a salary floor range for 1976/77 for library faculty of: $10,000; $11,500; $13,750; and $17,000---considerably behind the salaries for teaching faculty, even without considering the 12 months-10 months differential in work schedules. Since the Bloomington Faculty Council did not recommend an increase in the salary floors during 1976/77, the Libraries were able to meet (on July 1, 1977) the second half of the floors established in 1975/76. Aside from the overall problem of our inability to keep pace with increases in living costs, the Libraries face a worsening internal compression of salaries, i.e., librarians joining the library faculty with one or two years of experience are often paid the same "floor" rate to which library faculty who have been on the staff for four to five (or more) years have only recently been raised. The problems we face because of our salary position vis a' vis other academic libraries are exemplified by our great difficulties in meeting the goals to which we are committed as an aggressive affirmative action employer.

But the real issue of overriding concern is the comparison of average salary (including fringe benefits) between library and teaching faculty across the University: for Affiliate Librarian: $13,137 (vs. Instructor: $15,100); for Assistant Librarian: $14,779.83 (vs. Assistant Professor: $18,400); for Associate Librarian: $20,959.99 (vs. Associate Professor: $22,400); for Librarian: $24,784.35 (vs. Professor: $29,900). Again, these 1976/77 comparisons do not take into account the differential of 10-month teaching vs. 12-month library faculty responsibilities.

An increase of 4.9% for all support staff members was implemented with the beginning of the fiscal year 1976/77, except for persons at the salary ceiling, who received an increase of 5.5%. Salary recognition for especially meritorious service among support staff remains a serious concern for the Libraries. In 1975/76, the University Personnel system allowed the I.U.-Bloomington Libraries to award five individual special merit increases. In 1976/77, the Libraries were given no means to acknowledge and reward special and greatly appreciated efforts of individual support staff. The merit increase system is of acknowledged concern to the Personnel Division itself and the Libraries look forward, along with other units, to a solution to the situation.

Of [illegible]t serious concern is the hourly budget. As we stated in our preliminary budget conference proposal of March 8, 1977:

"In budget year 1972/73, the budgeted amount for wages was $441,330; at the beginning of the fiscal year, the minimum salary was $1.75 per hour, and the amount budgeted could have purchased 252,189 hours of student assistance. At the beginning of the 1976-77 budget year, $460,160 was budgeted for wages, the average minimum wage was $2.25 per

hour, and the amount budgeted could have purchased 204,516 hours of student assistance. In 1977-78, the minimum wage of $2.30 per hour will be in effect for the entire year according to current information and a total of $580,035 would be needed to return to the purchasing power of 1972-73. In addition to the above, we have had to eliminate merit increases for continuing students in many instances and the rising minimum wage has caused a clustering effect in the wage per hour distribution for student wages. The library system has off-set the losses cited above in part by an increasing reliance on work-study funds showing an increase from nearly $100,000 in 1972-73 to $190,000 in 1975-76. Since the current level for work-study funds is $110,000, it is unlikely that the library will achieve the 1975-76 level this fiscal year.

The library system is very concerned about the continuing erosion of the student funds, since the employment of students is essential for adequate public service."

The difficulties the Libraries face in this are several: (1) the hourly rate we are able to offer is not competitive with much other campus employment, causing serious recruitment and retention problems; (2) we have had to meet an increasing security problem in the Main Library by hiring "monitors" from these scarce funds; and (3) we have no assurance that the authorization for employment of work-study students will be adhered to (witness the crisis faced by the Libraries in May 1977 when work-study funds were cut-off with very short notice before the week of final examinations for the Spring Semester).

The impending rise in the Federal minimum wage (to $2.65/h and ultimately to $3.40/hr.) will undoubtedly strike the Libra harder than any other unit on the I.U.-Bloomington campus, in view of its large number (450-500) of student employees. The lack of any compensating increments in the Libraries' base wag budget for increases in the minimum wage since 1973 (from $1.7 to $2.30, in just five years) has forced us to fall back in a most unhealthy way on the work-study program. The Libraries have already been forced to close some branch libraries during hours which had been normally scheduled for service. We almost certainly will be forced to curtail, perhaps severely, hours of opening in many, if not all, of the I.U.-Bloomington Libraries if substantial relief is not forthcoming.

2. Supplies and Expenses

During the 1976-77 year, the Libraries felt the financial impact of the first full year of the on-line bibliographic searching and cataloging services of the Ohio College Library Center, squeezing an already tight supplies and expenses budget with the various telephone and service charges associated with the OCLC operation. Reallocation of monies from salary convers allowed the Libraries to support the operation for the year, bu we expect even greater costs associated with the OCLC system in 1977/78 because of the already much-improved organization of Technical Services units which make use of the system. Higher

telecommunication and catalog card production costs seem certain.

The two most serious problems in this area, however, are the cost of the multipart "McBee" cards used in the Libraries' manual circulation operation and the cost of the "Tattle Tape" detector strips inserted into library materials as part of the book security system purchased in 1974/75. In the past, the Libraries have relied almost exclusively on year-end allocations or on surpluses in our "fine" collections to support such purchases; however, as year-end monies were not forthcoming in 1976/77 because of general University shortfalls in income, purchases had to be delayed until 1977/78 funds became available. That we must rely on "year-end" funds for such fixed, pre-determined expenses is indicative of the seriousness of our overall budget problem.

3. Equipment

The 1976/77 base increment of $6,000 to the equipment budget was gratefully received - and very quickly consumed by top priority items among requests totalling almost four times the allocation.

Here, as in many other areas, our problem is really twofold: we have pressing needs for equipment basic to our mission, e.g., shelving, but we also lack equipment to move the Libraries into a new service role---one already a reality in many other major academic libraries. So much of what the teacher, researcher and student could use remains unavailable - even unknown - in this University because we lack the funds needed to purchase the computer terminals, printers, and related equipment which would allow us to provide access to the many commercially-available data bases of the nation.

More fundamental yet is the urgent need for equipment to read and produce paper copy from materials in microformats. We have made great strides since 1973 in converting expensive-to-bind and expensive-to-house materials, especially serials, to microformats, but we have not kept pace with the need for the equipment required for their most effective use. The understandable resistance of students and faculty to the lack of sufficient modern equipment may reach such proportions that we cannot defend our efforts to save costly binding and storage costs. [See also the "Physical Facilities" section of this report.]

4. Travel

While never adequate, we are fortunate to have a reasonable base travel budget which allows the Libraries to provide at least partial reimbursement for library faculty transportation to important meetings. To some extent, however, this has been an anomolous period, inasmuch as the bulk of library faculty travel---to the annual conference of the American Library Association---has

been confined to short trips to Chicago and Detroit, the site of the 1976 and 1977 meetings. Supporting travel to future meetings scheduled for Dallas and New York City will strain our budget much more seriously.

The availability of a $1,500 "system" travel budget this year paid part of the costs of library faculty to attend required intra-systems meetings, such as those of the All-University Librarians Promotion and Tenure Committee. However the continuing "out-of-pocket" practice of paying for many travel expenses continued--at some real detriment to the effective operation of the Indiana University Libraries system.

Support for administrative travel to represent the Indiana University Libraries is not always adequate to ensure that our interests are taken into consideration at regional and national meetings where plans for the future of libraries are discussed and policies decided. To be sure, we are usually represented at the most important gatherings, but often only because conscientious library faculty at various levels of responsibility use personal resources to attend.

V. TECHNICAL SERVICES, AUTOMATION, AND LIBRARY COOPERATION

A. Technical Services

The following consists of the main body of the Annual Report of the Assistant Director for Technical Services:

The year 1976/77 brought major change to the Technical Services departments of the Indiana University Libraries, Bloomington, change of both an administrative and technical nature. The combination of the introduction of a profoundly new cataloging system, the appointment of a new administrator, and various changes in the Technical Services occuring at the national level provided an environment wherein new approaches to the treatment of bibliographic information and to the organizational structure surrounding that treatment were considered and adopted.

New Automated Cataloging System

Access to cataloging data obtained on-line via the Ohio College Library Center in Columbus, Ohio, first became available to the Indiana University Libraries in April 1976.

OCLC, a not-for-profit corporation chartered by the State of Ohio, operates a computer network system in which over 800 libraries in 42 states participate in order to receive Library of Congress and each other's cataloging information. Such a major change in the medium for the transmission of bibliographic information from the 3" x 5" card to images on magnetic tape accessed through a cathode ray terminal has profound effect upon the internal library procedures of the individuals involved and will continue to do so.

IX. CONCLUSION

The Libraries have truly progressed during the past several years. We have in recent times shifted the focus of our attention from internal organization to proposals for imaginative solutions to technical and public service challenges. The high caliber of our library faculty is nationally recognized as is evident from the number of Indiana University librarians who have been selected in recent years for national awards and key positions in other universities, and by our own ability to attract librarians of national reputation.

But these same years have brought with them a degree of frustration, a frustration not uncommon elsewhere either in this University or in almost any other in the United States. We agree with Chancellor Wells that, "a library is the lifeblood of a great university." This University has over time invested well in its libraries, the outstanding example being our much-envied Main Library. We have attracted international attention with Josiah Lilly's benefaction of his library to the people of Indiana. That we continue to have fine libraries is not seriously in question; that we have the means to maintain their stature and to advance further toward excellence is very much in doubt.

The facts of our strained materials budgets are well known to all in the University who look on the Libraries as a resource for research and study. The appalling physical facilities of some of our key branch libraries is evident to any visitor. Our costly and inefficient circulation system is apparent to anyone who borrows our materials. The irritation of attempting to use our large microforms collections with inadequate and often obsolete reading and copying equipment is a common experience. The absence of faculty or student access in the Main Library to many commercially-available data bases is felt by those familiar with such services offered in many other academic libraries.

We do indeed have a great research library collection, staffed by an outstanding group of people. The University administration has demonstrated a positive attitude toward the Libraries, dealing with us as well as resources permit. That we call attention to our problems should in no way suggest that our pride is any the less, but that our concern for the Libraries and the University they serve is the greater--as we work toward that excellence we all demand.

STAFF

The General Libraries continued to advertise nationally for all permanent professional vacancies during 1976/77. Fifteen appointments were made involving ten librarians new to the system, four promotions, and one transfer. In filling these vacancies 409 applications were processed in the Library Office, 33 interviews were held, and the average length of time to fill a professional vacancy averaged 5.2 months per position, similar to the time required in 1974/75 and 1975/76.

Despite a 6.8 per cent Cost of Living increase on September 1, 1976, professional librarian salaries at UT did not improve relative to professional librarian salaries at other large research libraries. The 1976/77 salary statistics compiled by the Association of Research Libraries showed librarians' salaries here ranked 35th out of 94 of the largest academic libraries in the United States, whereas in 1975/76 UT librarians ranked 31st.

The pace of classified and hourly recruitment increased considerably during 1976/77, with 387 classified positions advertised during this period. The 7,039 referrals for these positions sent to the Library Office by the Office of Personnel Services and Employee Relations resulted in 2,950 interviews in the Library Office and more than 1,200 interviews at the departmental level. Additional interviews were held at the departmental level to hire 287 clerical assistants during the long term, and 190 clerical assistants during the summer session. Approximately 12 per cent of the classified openings were filled by promotion or transfer; 88 per cent were filled by new employees.

Staff Evaluation

Formal procedures for the evaluation of professional staff, classified staff and supervisors were continued during 1976/77.

Professional staff are evaluated annually according to peer review processes established in 1972. Each librarian completes an annual report which details his or her professional experience and development during the previous 12 months. The department head reads the report, prepares a written evaluation of the librarians, and discusses both with the librarian in a private interview. The report and evaluation then go to the Assistant or Associate Director level for review and further recommendations, then to the Professional Personnel Committee, an elected committee composed of seven librarians. The Personnel Committee reviews all annual reports and evaluations, considers the issues of reappointment and merit, and makes recommendations to the Director. Final decisions for reappointment and merit raises (subject to budget constraints) are then made by the Director and communicated to individual librarians.

Classified staff members are evaluated after three and six months, both to provide formal feedback to the employee and to provide a basis for determining whether or not an employee will be retained after his/her initial six-months probationary period. Following the probationary period, classified staff members are evaluated annually.

Supervisor Evaluation

During 1976/77 General Libraries supervisors were again evaluated by the staff members they supervise. Each employee rates his/her supervisor on 40 supervisor characteristics, and can make additional written comments, if desired. The comments and a computer tabulation of the ratings are distributed confidentially to each supervisor by the Supervisor Evaluation Committee, and an overall summary, combining the ratings of more than 90 supervisors, is published in the Library Bulletin. Review of the last three evaluations held does suggest that this evaluation process is, as planned, helping supervisors improve their skills.

Staff Development

Staff development continued to be a serious concern within the General Libraries, although staff changes and shifts in staff development responsibility prevent realization of many projects which have been in the planning stages for some time. Staff development activities continued to revolve around orientation programs, released time for courses, transfer and exchange policy, and the provision of travel funds and/or released time for attending meetings, workshops, and other developmental events.

Formal orientation of new staff members continued to be a priority item. For some time, staff members have been working on orientation programs for both classified staff and professional staff. Classified staff still receive their major orientation to The University of Texas through a one-and-one-half hour program at the Office of Personnel Services and Employee Relations, but plans are under way for improving the first-day orientation given in the Library Office, and for presenting new classified staff with an overview of the General Libraries sometime during their first few weeks on the job. Professional staff receive most of their orientation within the General Libraries, and in December 1976 a 15-hour formal orientation program was instituted to expose new librarians to all aspects of General Libraries organization and operation. The program included orientations and tours in all units, was well received, and will be offered on a semi-annual basis in the future.

Both the General Libraries and General Libraries staff members continued to benefit from the education policy which allows staff members to take up to two courses per year on work time. Requests to take courses must be approved at the departmental and administrative levels, and during 1976/77, 70 requests to take or audit courses were approved. In addition to formal academic courses, staff members are encouraged to take relevant courses offered by the Office of Personnel Services and Employee Relations, and are granted released time to attend such courses.

The transfer and exchange program, now in its second year of operation, provides a mechanism for internal, bilateral reassignment of General Libraries staff through temporary or permanent trading of duties by two staff members of equal job classification or rank. The Transfer and Exchange Committee supervises the operation of this program.

Another program designed to foster staff development is the library's policy on awarding travel funds and/or released time for staff attendance at conferences,

workshops, and institutes. During 1976/77 the Travel Committee, a three-member committee elected to review and make recommendations on requests for travel funds and released time, reviewed 96 requests. Of these requests, 61 were recommended for released time only, 23 were recommended for released time and partial or full reimbursement, and 2 were not recommended for either time or reimbursement. This year only $3,750.00 was allotted for staff travel, 18.6 per cent less than the $4,607.30 that was spent last year (some funding was provided from Administrative travel), and one of the chief, and most difficult, functions of this committee is equitably distributing these limited funds among the library staff.

While the available funds are greatly inadequate for a staff of this size, staff members did continue to remain active in professional associations, attend conferences and workshops, etc., chiefly at their own expense. The General Libraries was represented at each of the 44 meetings listed below by the number of staff indicated:

National Conferences

American Library Association	5
American Library Association, Midwinter	5
American Society for Information Science	1
Art Libraries Society of North America	2
Association for Asian Studies	2
Association for Educational Communication and Technology	1
Association of Research Libraries	1
Council on Social Work Education	1
Music Library Association	1
National Micrographics Association	1
Seminar on the Acquisition of Latin American Materials (SALALM)	8
SALALM, Midwinter	4
Society of American Archivists	1
Special Libraries Association	2

Regional and State Conferences

AMIGOS Bibliographic Council, Membership Meeting	2
Art Libraries Society of North America, Texas Chapter	2
Austin Online Users Group	2
Catalogers' Interest Group	3
Chicano Film Festival	1
Medical Library Association, South Central Regional Group	1
Society of Southwest Archivists	1
Southwestern Library Association/Mountain Plains Library Association, Joint Conference	10
Special Libraries Association, Texas Chapter	2
Texas Council of State University Librarians	1
Texas Information Exchange Membership Meeting	1
Texas Library Association (TLA)/New Mexico Library Association, Joint Conference	12
TLA, Annual Assembly	4
TLA, Interlibrary Loan Roundtable	1
Texas State Historical Association	1

Institutes and Workshops

The Catalog in the Age of Technological Change	1
Computer Uses in Instruction	2
Conference on Advances, Trends, and Developments for the Spanish-Speaking Elderly	1
Copyright Institute	4
How to Find the Census Data You Need	6
Improving Lecture Skills Workshop	2
INSPEC Online Training Course	1
Introduction to Modern Archives Administration	1
Leadership Conference	2
Predicast Training Seminar	2
Preparing Instructional Objectives Workshop	1
SciSearch and Social SciSearch Database Workshop	1
Time Management Workshop	2
Workshop on Group Dynamics	1
Workshop on Non-Print Production for Trainers	1

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UNIVERSITY LIBRARY

To the President of the University and the Dean of the Faculty of Arts and Sciences:

Gentlemen,--The Director of the University Library and the Librarian of Harvard College have the honor to submit their report covering the year 1 July 1976 to 30 June 1977.

It has never been easy to build and organize library collections capable of meeting Harvard's present and future needs, to house them, to preserve them physically, and to safeguard them without needlessly impeding their use. Inflation during recent years obviously has aggravated the financial difficulties of the task. There is no need to expatiate here on the Library's aims or the perennial problems associated with them; but this report will call attention to two situations that particularly concern us at present. A staff of high quality is essential if the Library's strength is to be maintained; both recruitment and morale are adversely affected by policies that divide all Harvard employees into teaching faculty and non-teaching staff. The second cause for uncertainty at present relates to the Research Libraries Group, in which we have placed great hopes for finding cooperative means of reducing the rate of increase in costs and of improving services; experience thus far has not been entirely reassuring, and critical decisions regarding a bibliographical control system must be made during the next few months.

Prudence is essential, but we do not believe that pessimism is justified; difficulties of personnel policy and of cooperative activity should not be insuperable. Collections and staff are strong, and the Library has understanding and generous friends, as evidenced by the fifty-eight new endowed book funds established this year in the College Library. Substantial progress is being made in automation, and both staff and users of the Library are showing themselves remarkably willing to adjust their habits and to accept the inconvenience that is inevitable when major changes are made in enormous catalogs and in the classification of collections they list. The diverse units of the University Library are drawing closer together and adopting national standards; the advantages of computer-based records are unifying the Library far more effectively than was ever possible

through University legislation or administrative persuasion.

PERSONNEL POLICIES

The Library's present program for ranking and appointment of professional librarians dates from 1972 when the Council of Deans approved recommendations of a Study Committee on Professional Library Personnel that had been elected by the staff. This year, at the request of the University Librarians' Assembly, the application of the system has been examined "with particular regard to the suitability of three ranks and the ratio of men to women in each rank." An ad hoc committee under the chairmanship of Wolfgang M. Freitag solicited comments of the staff in writing and at an open meeting; its findings, reported to the Assembly in May, appear to constitute a vote of confidence in the present system. Little support was found for changing the number of ranks or for adopting a system based primarily on job classification rather than ranking of individuals. With regard to the ratio of men to women, the report found that "there is a disproportionate number of men in the higher ranks," but that "some progress has been made during the past four years toward decreasing this disproportion. There is no doubt that more should be done; we recommend that the (Library) Personnel Office be encouraged to continue its efforts toward equalization of the sex-ratio ... also that the Personnel Office be requested to provide the Assembly annually with data showing changes in the personnel structure from year to year."

There has been growing concern, however, lest foundations of the Library's personnel policy be eroded by changes in University policy that have been tending to divide all Harvard personnel into just two categories--teaching faculty on the one hand and everyone else, including librarians, on the other.

The ranking and appointment system of 1972, like other features of the personnel program then adopted, was an evolutionary development of the policy formulated in 1958. A fundamental principle of that policy is that the Library's professional staff is a group within the University fully as professional as the teaching faculty and that it is entitled to comparable perquisites. When an institution's teaching faculty is regarded as its only fully academic group, there is a strong case to be made for recognizing the special status and contributions of librarians and other similar academic personnel by appropriate provisions for appointments and ben-

efits.

Beginning in 1973, professional librarians, other than those already on the staff, were denied the opportunity to participate fully in TIAA-CREF and pension contributions on their behalf were no longer immediately vested. Subsequent decisions, such as those on eligibility for interest-free loans for education of dependents, have reflected the same dichotomy between teaching and non-teaching Harvard personnel. Library administrators and library staff are convinced that diminution of benefits for librarians will hurt Harvard, which must compete nationally in recruiting and retaining professional librarians.

These convictions have been communicated to the University Administration by the University Librarians' Assembly, the University Library Committee on Rights and Responsibilities, the department heads of the College Library, and individual officers. The response has been encouraging, and we hope that a special committee, which the President has appointed, will find solutions to the problem. Though its effect on the well-being of the Library is particularly evident, librarians are by no means the only academic group at Harvard whom it concerns.

Collection Growth and Trends

The collection increased its book stock by 96,375 volumes, of which 19,429 were bound periodicals. This represented 56,434 new titles. The total collection of letter-press material is now 1,783,096. Government publications grew by 21,796 items, and an additional 40,755 in microform. The holdings of government documents is 499,277; not included in the last figure are those publications in microform which are almost as numerous. The total microforms increased this year by 91,338 items, bringing the Library's total holdings in all locations to 1,166,375. The number of periodical subscriptions continues to decrease, to 15,010 subscriptions. The usual quantity of audiovisual materials, largely for the Curriculum Laboratory, were purchased.

The base book budget was increased by $396,000. This represented 22.7% more in the budget for library materials although the actual increase was only 19.9%, since in the previous year the book funds had been supplemented from the MacCosham bequest money. The infusion of more money enabled the Library to increase acquisitions by 6.6%.

Each year a greater proportion of the total library materials budget must be assigned to covering the spiraling costs of continuations which now account for 80% of the budget. The largest portion of the above expenditure is for periodicals and standing orders. With less money available for discretionary buying the assignment of some of the remainder for project purchases is a good utilization of funds.

Only through carefully planned projects can the Library ensure a systematic use of shrinking resources so that an identified collection development objective will be pursued. This requires the full mobilization of faculty and appropriate librarians in a coordinated effort. Discretionary buying, on the other hand, is subject to the vicissitudes of part-time faculty commitment, with last-minute reliance on fortuitous antiquarian catalogues and opportunity buying.

Considerable good work is being done in retrospective development in the areas of greatest importance. Noteworthy here are projects in concerted building on existing strengths in English, Classics and Romance Languages. One of the most active of the interdisciplinary development areas is Canadian Studies which, under the direction of Mrs. Maureen Bradbury, has for the third consecutive year accomplished significant build up of research level resources, with primary emphasis on Western Canada. Other interdisciplinary projects significantly active this year include European Romanticism and, for the first time, East Asian Studies.

The Co-ordinator of Collection Development, Mr. Olin Murray, muses on the problem of defining the "adequacy" of research collections, an

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important issue for university libraries at a time of financial restriction of book funds, and when libraries are attempting to offset the decline in their collection development programmes through resource sharing. Despite many years of library research devoted to such things as criteria for determining the adequacy of collections, we remain far from being able to make easy and meaningful generalizations. The difficulty in arriving at a definition of adequacy for a university library has to do with the nature of a university. A university is by definition a place where all subjects under the sun (and now well beyond the sun) may well be investigated without restriction as to depth or breadth of topic. In fact, the sole limitation should be that limitation imposed by the scholar's own ability.

The problem of "adequacy" of collections will become an issue with the current discussions of inter-library cooperation, networks, and sharing resources. The assumption is that a higher level of adequacy may be achieved through collective action, but in practice this is likely to mean a number of inadequate collections linked together bibliographically. Is the scholar stimulated by a catalogue of books held in other institutions in the same way as when he has physical access to a great research library and finds himself surrounded by books on many topics? Research libraries by definition consist of collections which are to a great extent unused at any given moment. The greatness of a great research library derives from its capacity to inspire, by its very scope and depth, a scholarly sojourn in areas not even dreamed of by the scholar who begins to probe a topic of interest through bibliographies. There is strong evidence that the act of scholarly creativity is itself often a leap of inspiration between subject areas not bibliographically or conceptually joined together.

Allocation Procedures and Fund Management

As usual the Library had great difficulty in generating an even flow of first-rate book orders, invoicing and payments. The Library's difficulty should not be surprising, given that there are often uncontrollable elements which must be coordinated to arrive at the optimum situation.

First among these elements is standing commitments, in particular subscription and standing order renewals which have first claim on the budget. While it is easy to allow these costs to drift upward by allowing new subscriptions, it causes campus-wide stress and disruption to try to reduce such costs through cancellation. However, the upward drift of these costs has been dramatic for the past five years, even when the ordering of new subscriptions is very restricted. The overall costs of standing commitments have risen to about 80% of the total Library materials budget.

Though the Library has addressed much attention to the problem of estimating the cost of subscription renewals, several factors militate

against accurate prediction. For the past four years or more there has been instability in the periodical publishing industry, with unpredictable variations each year from country to country and from subject to subject. This has been further exacerbated by unpredictable currency fluctuations. Furthermore, since invoicing for subscriptions has bunched toward the end of the fiscal year, it is not possible to arrive at a definite knowledge of costs until the year is virtually over; and then it is too late to make significant adjustments. The penalty for a miscalculation on the part of the Library by even as much as 10% can have disastrous consequences for a budget item now hovering near a million dollars.

A second factor in the problem of budget control is that the materials budget may remain undetermined well into the new fiscal year pending resolution of all other university budget negotiations. However, the Library's acquisitions programme must be planned before the beginning of a new fiscal year, forcing the Library to do considerable speculative planning, rather than planning based on hard data. A third factor is that the Library's projections and recommendations for the materials budget must be mediated through the Library Committee, and a working agreement achieved on the approach to be taken each fiscal year. A fourth factor with respect to the discretionary accounts which are allocated to teaching departments has been the problem of securing an even flow of orders throughout the fiscal year. The significance of this problem is exemplified by the fact that in the aggregate it takes twelve months to obtain shipment on 85% of the Library's orders, from the time of mailing them to the vendors, and roughly six months to obtain 65%. On the other hand teaching departments submitting orders have found it convenient to believe that orders postponed to the last of two or three months of the fiscal year would be sufficient to discharge their responsibility for departmental ordering. This situation has resulted over the years, in a committed but unexpended carry-over of funds, which gradually has attained significant proportions. Accordingly, a new deadline for ordering on discretionary accounts was set for December 31, 1976, after which uncommitted funds were pooled in a general discretionary account.

Committee on Collection Development

Mr. Murray reports that this year the Committee on Collection Development has made progress in defining some ways of maximizing the use of limited financial resources. In particular, an effort has been made to define the objectives and methods for written collections policies for library divisions, for there are differing views on the collection services which different libraries on campus should offer to the public. The Committee has a concern also as to whether there is in some cases unnecessary duplication and overlap between divisions, and in other cases important collection priorities being neglected as falling

between divisional specializations. It is hoped that elaboration of written policies at the divisional level will enable the Committee to clarify these problems and propose workable solutions in the form of a coordinated collections policy for the whole library system. The Education Library has taken the lead in developing its policy, and this may serve as a model for other divisions.

The Committee also looked at "deacquisition", a term which has lately become current to describe programmes of weeding for discard and for remote storage of lesser used materials. In particular the Committee is looking at a central storage area and policy, operated as a corollary to positive selection and deselection, versus an *ad hoc* arrangement by each division as need arises.

Another activity was a new serial survey, which might perhaps be regarded as an update of the serial revalidation project of 1973-74, and which was intended to be a contingency plan should a financial crisis arise.

Staff

During the year under review, between July and December five professional staff members resigned from the Library: Miss Sandra Garvie, Miss Marilyn Shearman, and Mrs. Ione Hooper, all from Cataloguing; Mr. Ray Doerksen from Acquisitions; and Mr. Andrew Balazs from Humanities and Social Sciences. During the same period the Library made five professional appointments: Mrs. Christine Ewaskiw, Law; Mrs. Sharon Empey, Education; Mrs. Bonnie Davis, Acquisitions; Mrs. Marianne Hamilton and Mrs. Vesna Vuklov in Cataloguing. Temporary appointments were Mrs. Susan Dingle-Cliff and Mrs. Deborah Dancik in Education, Miss Elizabeth Paynter in Micromaterials, and Mrs. Nancy Anne Robinson in Humanities and Social Sciences. Two librarians returned from leave, Mr. George Grlica, who had been studying in England for three years, and Miss Margaret Salmond away for one year. Mrs. Barbara Burrows was granted a year's leave starting in September.

The Library lost one of its most devoted staff members in September, when Mrs. Marion Bacon, who had been with the university for twenty-nine years, retired. Her retirement was short-lived, however, for she returned in January to assist at the reference desk in Education Library during the sudden and extended illness of the head of the reference unit.

The Library Personnel Officer, Mr. Norv Everett, in reporting on the support staff, notes a decrease in the number of resignations for the second successive year. Two years ago there was a 45% turnover of staff, this past year only 26%. The number of resignations totalled 78. The majority of resignations occurred over the summer months, with the

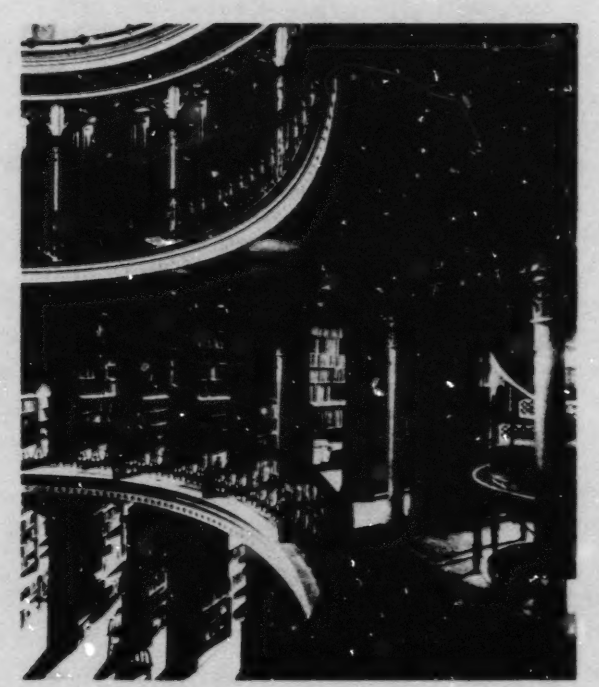
ive years (1972-76) represent a long timespan in the life of a contemporary research library; the General Library is no exception. In 1972 the library was reeling from the budget cutbacks of 1970 and 1971 when several staff positions were eliminated and service hours reduced. The purchasing power of the book budget already reflected the ravages of inflation, space problems in the central building were critical, and library staff members were voicing concerns about possible hiring and promotional discriminatory practices against women and members of minority groups. The discontent that buffeted the Library in 1972 was by no means unique to Berkeley; in a very real sense, this discontent mirrored conditions which permeated higher education itself. Libraries had reached the end of a period of unprecedented growth, but few institutions in 1972 had recognized the "new" reality, and even fewer had learned how to cope with this "steady state" environment. Although most of the problems that surfaced at the end of the sixties still confront the library, in my judgment the library has become more adept at coping with the steady state; thus, it is possible to present a much more positive image today than would have been the case five years ago.

This annual report is the first to be written since the middle 1960's. In order to provide a sense of the progress, the problems, and the trends which have occurred during the intervening years, this report is organized around a series of major library concerns including 1) the collections, 2) physical facilities, 3) internal organizational developments, 4) personnel concerns, and 5) library services. The final section addresses the immediate future, specifically: Berkeley's role in the emerging Universitywide system and the General Library's current efforts to improve resources sharing among academic institutions in northern California.

Respectfully,

Richard M. Dougherty

Richard M. Dougherty
University Librarian



Bacon Hall (1893), the University's first library

he libraries at Berkeley have long been noted for their excellence. The collections and professional services extended to scholars and researchers have been instrumental in promoting the renown which our libraries enjoy. A relative decline in the rate of acquisition which began at Berkeley in the early 1970's has, however, had adverse effects.

Since 1969/70 the Library book budget has increased by only 10 percent. This limited increase, in combination with inflation and the 1973 dollar devaluation, has caused an overall reduction of 37 percent in the purchasing power of the book budget. This decline has led to a marked decrease in the purchase of retrospective materials intended to support research programs and in the purchase of new scholarly and technical monographs. A high priority was assigned to maintaining the unique strength of the library's serials collection. As the General Library entered the 1970's it had already become

clear that the rate of acquisition at Berkeley had dropped below the rate of book acquisitions at comparable university libraries. By 1974/75 the budgetary situation had become so critical that it became necessary for the Library to institute a crash serial cancellation program which resulted in the termination of over 3500 subscriptions. At the same time the plight of the library was slowly recognized by the campus and the Universitywide administrations. Tangible proof of this recognition was an emergency $223,000 augmentation in order to forestall a second, more drastic cut in the number of serial subscriptions. One lesson learned from the experience was that henceforth the library, particularly its book selectors, would have to remain diligent to ensure that growth of the serials budget was kept commensurate with the funds available. The library could no longer add serial subscriptions without simultaneously identifying other titles for cancellation.

The nature of the problems experienced by the library in supporting its book collections is similar to that reported by other campuses of the University. Berkeley's difficulties may have been more pronounced because of the larger number of students and the range of graduate programs that the library is charged to support, but the general difficulties reported by libraries on all nine campuses prompted the university as early as 1970 and 1971 to begin the process of examining other approaches to collection development. The objective of the Universitywide examinations has been to identify book allocation patterns and resource-sharing arrangements which would enable the University to avoid unnecessary duplication of library resources and at the same time enhance the capabilities of its libraries to share their rich resources. In this connection, a series of committees issued reports on the subject of book fund allocation plans, beginning with the Collins Committee, followed by the Susskind Committee, and the Library Policy Task Force. The book fund allocation formula developed by the Susskind committee has become known as the Susskind/Voigt formula. It now serves, in a modified version, as the basis for the current book fund allocation formula. The Susskind/Voigt formula is based on student population, academic programs, and other relevant programmatic considerations. Once the three year implementation cycle has been completed, Berkeley's percentage of total university book funds will have increased from 14.07% in 1976 to 18.19% in 1979/80.

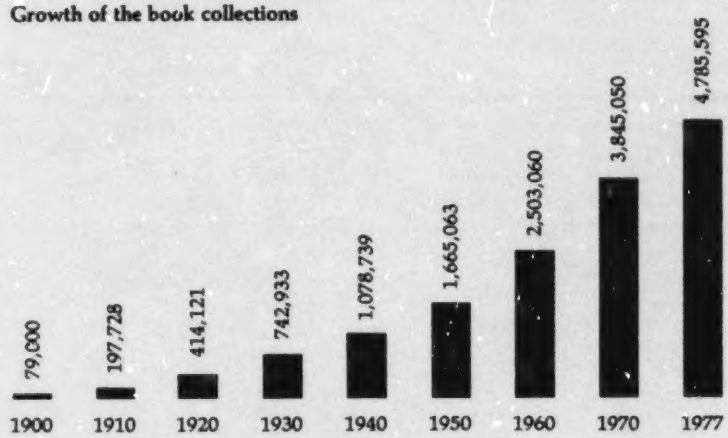
Universitywide budget analysts have worked with officials from the Department of Finance to develop a quantitative basis for documenting the effects of inflation on the purchasing power of library book budgets. These negotiations began to bear fruit for Berkeley in 1976/77 when $88,810 cost/price increase dollars were appropriat-

ed. There is every reason to believe that in 1977/78 the state will continue to appropriate funds to offset the effects of inflation on the book budget.

The adoption of the Susskind/Voigt formula and the recognition by the State of the justification for appropriating dollars to offset cost/price increases augurs well for the library. But it is clear that the library must continue to work in concert with the libraries on the other university campuses if it is to maintain the quality of services the Berkeley campus community has long enjoyed. Later in this report we will describe in greater detail current efforts among libraries to facilitate a program for sharing specialized research materials.

Although the growth and development of the General Library's collections have been hampered by the fiscal constraints of the past several years, an overall assessment should not disguise another reality. That is, the collections remain outstanding. The General Library has been able to provide this community with a continuing selection of some of the world's greatest and most valuable research materials. The State of California, the University, and the members of the Berkeley campus can assuredly remain proud of the acknowledged renown of our collections and the place they hold among the world's great collections.

Growth of the book collections



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More than ever before, the future of the General Library is intrinsically bound to the future of our sister campuses. It is clear that the University expects its libraries to design resource sharing programs that facilitate joint use of resources. These programs, however, must be designed to avoid the overutilization of local campus collections.

Recent studies indicate that some collections at Berkeley are now so heavily utilized that campus instructional programs are being affected. Another pressing issue involves the preservation of collections. There is evidence that heavy physical use, environmentally inadequate housing conditions, and deficiencies in the chemical composition of paper are all contributing to the current deterioration of library materials. Very recently, it was discovered that many, perhaps thousands, of reels of master microform tape have suffered spotting. There are studies underway now to ascertain the extent of the damage. To one degree or another, these problems pertain equally to all campuses of the University. Hopefully, the master plan for library development will address these and other issues in such a way that the next few years will witness the evolution of a sytemwide approach to library services that will solve or ameliorate existing situations.

The recently funded Berkeley/Stanford Research Library Cooperative Program (LCP) holds exciting promise for broad advances in inter-institutional library cooperation. It is also possible that this experimental undertaking can serve as a model for more extensive cooperative arrangements within or among university campuses. The LCP will enable Berkeley and Stanford to develop a coordinated approach to collection development. The granting of reciprocal borrowing privileges to faculty and graduate students who have entered into doctoral candidacy, provision for the rapid retrieval and delivery of materials, an intercampus bus system, and the expansion of BALLOTS to the units of the General Library are all components of this comprehensive cooperative undertaking. The objective of the project is to create an environment in which the researchers will treat library resources on the other campus as extensions of their own campus collection.

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The Berkeley academic community has been witness to many positive changes in the General Library during the last five years. These changes have occurred only through the efforts of a library staff dedicated to high standards of library service. One of the most heartening developments has been the growing recognition within the university community of the need for additional funds to support the growth and maintenance of the many specialized research collections on the Berkeley campus. Finally, many of the projects and services undertaken in the library since 1972 were made possible because of the continuing support and assistance of the Chancellor's Office. For this, the University Librarian and the entire staff are extremely grateful.

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SYRACUSE UNIVERSITY LIBRARIES

I. COLLECTION DEVELOPMENT

At the beginning of academic year 1977-78, Metod M. Milac prepared an outline for the formulation of a Collection Development Policy Statement. The guidelines developed over the last three years by the ALA/RTSD Collection Development Committee served as the basis for the outline.

Two task forces were appointed last November to work on various phases of this project. A brief summary of activities and accomplishments follows.

1. Evaluation of Collections and Collection Development Policy Statement Task Force

The members of this task force (eight members) prepared model collection development policy statements in their respective areas. These model statements were subsequently presented and explained at the meeting of bibliographers in January, 1978. The first phase of the project--a first draft of the collection development policy statement--was completed at the beginning of April by all bibliographers except those we intentionally excluded at this time (science libraries except mathematics). During the first phase we concentrated primarily on an outline of academic programs and on a reasonable approach to collection evaluation by careful selection of bibliographies, check lists and graduate reading lists which will serve as evaluation documents.

During the second phase which is currently in process, we are discussing our understandings of the academic programs with faculty. Furthermore, we are seeking and receiving faculty advice in selection of bibliographic tools for the evaluation of collections.

Concurrent with these efforts, two bibliographers developed a methodology for the evaluation process and presented sample formulae for the actual evaluation census (based on Stanford University experience).

In four areas--Religion, English, African Studies and Mathematics--we are trying to advance into phase three: the development of sample models of the actual collection development policy statement for each subject area.

The Special Collections librarians have completed phase one. They are now analyzing their respective collections according to the guidelines accepted at one of the task force meetings.

Another group, a sub-unit of the task force, is analyzing interdisciplinary collections such as government documents, newspapers and media.

2. Allocation of Book Budget (PSG I!) Task Force

The members of this task force (four) are collecting data and documenting our rationale in the allocation of book budgets.

The criteria to be used in support of the allocation of book budgets is being compiled in five categories (for each subject area):

2.1 Past expenditures and budgets
2.2 Cost per volume--Syracuse University records
2.3 Collection size
2.4 Institutional data (faculty, students, programs, etc.)
2.5 User statistics

Since we are seeking the above information for each subject area and/or academic program, we are now in the process of classifying the collection responsibilities of subject bibliographers.

The task force members are close to completion of this difficult assignment. There are a number of "shared responsibilities" areas which will have to be resolved before any further progress can be made. For this reason this is the top priority for the task force at present.
The physical count to be done in June, the adjustments of circulation controls to subject analysis and the development of a weighted value for data used are the projects still to be completed.

INTRODUCTION

In many ways fiscal year 1976-77 was a routine year for the Eisenhower Library, one of assessment and consolidation after the many changes of the previous three years. If in the following report we pass quickly over many routine operations (e.g. circulation, reserves, reference, information retrieval, etc.), it is not because of their unimportance but rather because their successful movement toward smooth operation has allowed us to turn our attention during the year to other issues. These included the beginning of a major restructuring in the Technical Services Division, the development of a fully operational bindery, the establishment of new Library instruction programs, a new approach to the collections and services of the Undergraduate Library, and new developments in Special Collections. These efforts, together with a banner year in acquisitions, have made this a gratifying year at the Eisenhower, one for which the whole staff deserves a great deal of credit.

TECHNICAL SERVICES DIVISION

Since early in 1974, the Library has had as its highest priority the improvement of its collections and its readers' services activities. Following the development of adequate acquisitions budgets and the initiation of several new readers' service programs, attention during the past year has turned more extensively to the technical services operations of the Library with the aim of improving present operations and of planning for the future during a period of great technological and procedural change. In January, Mr. James Thompson, former Head of Acquisitions at the University of Pennsylvania Library, was appointed to the position of Assistant Librarian for Technical Services, a position which had been vacant for over three years. Although the Library has had the use of the computerized cataloging services of the Ohio College Library Center for more than two years, we had not yet begun to take full advantage of these services and the potential savings possible through their use. The major thrust of this new appointment, and that of a new Head Cataloger, was toward maximum and efficient use of OCLC in order to cope with an increasing processing work-load and to bring under full bibliographical control other major collections in our backlogs of deferred cataloging. We were also concerned about planning for automated serials control, for the closer integration of the Departments of Serials and Processing within the Division of Technical Services, and for the enhancement of the inter-divisional relationships involving Technical Services.

Major attention was devoted to all of these matters. Reorganization of the methodology of OCLC use was implemented at the end of

the fiscal year and preliminary indications during the first two weeks of fiscal year 1977-78 show the likelihood of greatly increased productivity, thus making materials more quickly available while allowing us to make inroads into existing backlogs. The Departments of Serials and Processing are working together more closely and preliminary studies concerning serials check-in and control were made with a view toward introducing new technologies to these areas in the near future. Better lines of communication between the Division and other units of the Library have also been developed and promise to improve the responsiveness of all parts of the Library to the needs of our readers.

In July 1976 the Chief of Processing, Mr. Bruce Stein, resigned and was succeeded for a three-month period by Ms. Virginia Walker who kindly agreed to serve in an acting capacity pending appointment of a new Assistant Librarian. From November until January the Associate Librarian served as Acting Head of the Department until the arrival of Mr. Thompson in January. In April of 1977, Ms. Johanna Hershey, formerly of the Michigan Library Consortium, was appointed Head of Cataloging and immediately began reviewing and revising the Eisenhower use of OCLC and its cataloging procedures generally. This study bore fruit in the cataloging restructuring already mentioned. There is no need to describe the new acquisitions and cataloging procedures in detail here (those may be found in the departmental reports available in the Library Office), but it is clear that many unnecessary operations and other anachronisms have been eliminated and that the work of processing can now proceed much more efficiently. Many other changes in personnel, too numerous to mention, occurred during the year but despite a rather alarming rate of turnover the year ended with an excellent staff ready to face the important tasks of reorganization.

The work of the Serials Department has continued expeditiously. Some changes in departmental organization were implemented and others proposed for future consideration and funding. In preparation for future use of OCLC or some alternative system for serials check-in, and to provide computer access to our serials holdings, work began in April of loading titles of currently received serials into the OCLC data base. By the end of the fiscal year nearly five thousand of our 15,000 current receipts had been added to OCLC. The Welch Library has also begun this effort for their periodical holdings. The department was also involved in important projects to mark volumes of non-circulating journal titles and to change catalog records of materials being moved into storage in Gilman Hall. In addition, the Department ordered and added to the collections a total of 358 new serials subscriptions, almost one new title per day despite strenuous efforts to restrict purchases of new serials. During the same period the department also cancelled another 547 titles no longer deemed essential to our collections. Purchased serials now average $24 per title and represent a considerable and continued drain on our acquisitions funds.

Amid all these tasks and many others one of our chief concerns in Technical Services has been to monitor constant changes on the national library scene, especially in the area of bibliographical control, and

to understand the ramifications and implications of those changes on this library. Mr. Thompson has prepared a report on the coming revolution in processing and bibliographical control which appears as Appendix I of this report and constitutes our initial planning for changes in response to these developments. Despite the enormity of some of the issues discussed in that report I can confidently say that our Technical Services Division will be well equipped to react quickly to the needs of the next decade.

COLLECTION DEVELOPMENT AND ACQUISITIONS

During the fiscal year under review increased prices of both books and periodical subscriptions continued, as in the recent past, at a steady rate, and continue to alarm and dismay not only this institution but also the international community of librarians, scholars, publishers, and book dealers -- indeed almost everyone concerned with the dissemination of scholarly information. The problem is now regarded as being so serious that three organizations independently took some special action during the year: The American Council of Learned Societies initiated a National Enquiry into Scholarly Communications; Professor Fritz Machlup (a former Hopkins faculty member) began gathering data to update his 1962 study of The Production and Distribution of Knowledge in the United States, and the Association of Research Libraries received a major grant from the Mellon Foundation to develop and test procedures to enable academic libraries to review and improve collection development procedures and policies. In this last endeavor the Eisenhower's Associate Librarian is serving as an advisory committee member.

Funds allocated for collection development (books and serials) during fiscal 1976-77 were $755,000, an increase of $70,000 over the previous year. An increase of this dimension, though substantial, barely enabled the Library to keep abreast of inflation and to add to the collection the most basic periodicals and books needed to support the instructional and research programs of the Homewood campus. Despite these circumstances the Library was able to rely even more heavily than it has in the past on the generosity of donors, both individual and institutional, to acquire special items which give the Library's collections their unique flavor and their added capability to support the research endeavors of both faculty and graduate students. Thus we are particularly happy to report that this year has been an outstanding one for gift acquisitions of importance to the collections of the Eisenhower, the Hutzler Undergraduate Library, and the Evergreen House Library. Gifts ranged from single items to collections of several hundred books.

SERVICES TO USERS

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AVAILABILITY OF LIBRARY HOLDINGS

The commonest complaint about academic libraries is not "You do not have this book," but "I cannot find this book which your catalog says you have."

Those who manage and work in libraries have seldom addressed this problem straightforwardly and have often taken refuge in telling themselves (and anyone else who would listen) that the problem was "shortage of funding." We librarians have also, with considerable self-satisfaction, proven, from time to time, that the problem is with the user who simply does not know how to use our "system," and we feel we have done as much as we can when we tell him to keep looking. Finally, we take comfort in knowing that whatever the volume of complaint may be, the numbers of volumes withdrawn from the collection must mean that someone must be finding something.

While all of these responses to the problem have some merit, it is also undeniable that many of the problems are very clearly problems of library management. During the past two years, Arizona State University Library has attacked this problem in a variety of ways and planning is under way to add further approaches to it. None of these ideas is particularly new and many of them have been employed elsewhere for many years. Some of them have been derived from the substantial amount of speculation and inquiry about the problem of access to University Library collections which is now occurring nationally.

Approaches which we have employed include the following:

DUPLICATION: For the past two years, we have systematically purchased an additional copy of in-print books which the automated circulation control system told us had circulated more than five times during the previous year. The assumption was that if the book had been off the shelf for 15 weeks through five circulations, there must have been times when users wanting a copy could not find one. This approach may be working. In 1975/76 there were 15,384 books which circulated more than five times; in 1976/77 the number was 9,912. This may mean that we are purchasing duplicate copies of the right books. All of the duplicates to be purchased as a result of the 1976/77 circulation records will be ordered by October 1, 1977.

Similar approaches were taken to duplication through routine examination of holds placed upon books in circulation and through checking of the lists of books which faculty members, who have them on indefinite loan, had refused to return after three recall notices.

INVENTORY AND REPLACEMENT: In common with many University libraries, this one has not considered it possible to bear the expense of routine inventory of the collection. In effect, the last inventory of the various parts of the collection

occurred when the particular section was reclassified from Dewey to the Library of Congress classification system during the period between 1962 and 1974. In February a crew of temporary full time employees, working within the Collection Development and Maintenance unit, started inventorying those portions of the collection which, in the judgment of the Librarians in the Reference Service, created the most difficulties for users. To date approximately 150,000 volumes have been inventoried, and we find that an average of 5 per cent of the books we claim we own are not on the shelf and not recorded as being in circulation, the percentage varying from subject area to subject area.

Inventory projects frequently fail substantially to affect user access in that there is a disposition to mark up some of the library's internal records to indicate that the book was missing and to stop there. Nothing is done with the public catalog on the questionable rationalization that some day the book may be found. That policy was not pursued in this instance, and all cards for books found missing in the inventory were removed. Replacement decisions were made and new copies were ordered on the same basis as they would have been with respect to a potential new purchase. Catalog entries were created for these replacements when the new copies arrived. The inventory project has been continued indefinitely although the responsibility for it has been transferred to the newly formed Circulation Services unit.

In addition to these spot inventories of the stack collection, individual units conducted inventories, including Special Collections, Reserve, Architecture, and both the General and Science Reference Services.

Another of the practices of the academic library which create user access problems is the indefinite retention within the circulation records of information regarding books long overdue. Obviously, records regarding these books are also maintained in the public catalogs. When we started looking into the matter, we found that we had some such records for books which had been overdue for five years, in many cases out to borrowers whom the records indicated we had been unable to contact since the book became overdue. This problem was attacked in a manner similar to that used for books discovered missing in the inventory. While we continued to hold the borrower fiscally responsible for the book, the circulation record and the public catalog were purged of the record and replacement copies were reordered or not as the nature of the book seemed to indicate. A standing procedure was instituted whereby a replacement copy is now ordered after a book has been overdue for six months, unless it is determined that the book is not suitable for replacement (in which case the cards are simply removed from the catalog).

SHELF READING AUDITS: The Stack Service of the University Library has the formal responsibility and has been provided the staffing to "read" the stack continuously. In this process, the sequential order of the books on the shelf is systematically checked shelf by shelf. Continuous complaints over a long period of time about shelf order led, during this year, to a series of audits in which the Inventory crew of the Collections Development and Maintenance Service "audited" the shelf order of a random sample of individual shelves in the entire collection. In one instance they found 13 per cent of the books out of shelf order; in another they found four per cent.

Obviously this problem needs continuing attention.

NON-RESPONSIVE FACULTY: The faculty at Arizona State University may borrow books for one year, with the understanding that the book must be returned should another borrower ask for its return after the initial three week loan period. Most faculty respond with alacrity to these requests. Historically a very small minority has refused. However, the nature of the privilege the faculty already have gives to the arrogance and indifference to the needs of others on the part of this small core of faculty great importance.

During the past two years, the University Librarian has personally telephoned many of these recalcitrant faculty (and in some cases called their Department Chairpersons and Deans) regarding their failure to return books after three notices of recall. Many but certainly not all of the long term habitual offenders have changed their habits.

WEEDING: The size of any collection of books logically affects the ease of finding any one book within it. When all of the books on the shelf are valuable and relevant to the needs of the users, quite obviously the problems of scale are those which the users are happy to put up with. But when large parts of any section of the collection are irrelevant or worse, access is complicated for no good reason.

Substantial efforts have been made during the past two years to reduce our holdings of the irrelevant. Most of this activity took place in the Library of Congress classifications Q through V, the Sciences and Technology. Discarded were old medical treatises, superseded text books, earlier editions of standard treatments for which we hold a later edition, and technical manuals of thirty and forty years ago. There was also considerable weeding in the area of popular fiction, considerable quantities of which (much of it gift material) were added in the past on the questionable assumption that the University Library has the responsibility to perform some of the functions of the public library. In addition, some denominational religious material, dated library science publications, and general text anthologies in literature were withdrawn.

CLOSING OUT OF MATTHEWS FOR BOUND PERIODICAL STORAGE: Partly as a result of the weeding project noted above, we had space on level three this year to return to the Library all of the remaining bound journals which had been stored in Matthews Center and which were available only on a paged basis. This completes the process begun two years ago. We now have no cataloged material in storage.

MICROFORM IN LIEU OF BINDING PERIODICALS: The necessity of binding issues of a periodical on an annual basis creates very real problems for the Library users. No matter how rapidly the bindery handles the material, there is always a period of time during which the issues are unavailable. If the binding is done as soon as the volume is complete, very frequently the issues are sent off to the bindery just about the time that the various indexes catch up with the coverage of the periodical, thus creating a particularly frustrating situation. In response to this problem, this Library has for some time been delaying binding for two years. While

this practice has improved access somewhat, it has also meant that we were more often missing single issues, thus further delaying the binding while we tried to get a replacement.

To further improve access, and also reduce binding costs, we have initiated standing orders for the microform version of the annual volumes of many periodicals. The original copies, unbound, will be retained in the Current Periodicals Service for as long as seems practical.

CIRCULATION CONTROL EQUIPMENT: During most of this academic year there have been major problems with the present circulation control system, and we are very pleased that the campus administration has been able to make the funding possible which will permit the replacement of the Mohawk equipment, with which we have been operating since 1971, with Epic Data equipment. The new equipment will be installed and operating before the beginning of the Fall Semester.

Studies done prior to making the decisions as to what kind of circulation control system to substitute for the present one indicated that the error rate on the system we have had since 1971 has always been unsatisfactory, averaging over the years 1.95 per cent. In other words, 1.95 per cent of the books charged out and 1.95 per cent of the books returned were not properly recorded on the system. The implications for user access to material owned by the library are obvious. Equally obvious is the fact that the new equipment will have to be carefully monitored for accuracy from the very beginning.

NON-CAMPUS USERS: Also relating to access of the campus population to library collections is the request to start charging a fee to all non-university library users for borrowing privileges. At present some 6,000 individuals not associated with the University have library courtesy cards issued on the basis of their having an Arizona Driver's License and being 21 years of age. These 6,000 users account for almost ten per cent of the total circulation over the Loan desk each year. The initiation of a $10 fee would, it is hoped, considerably reduce the number of such borrowers and consequently reduce the competition for certain types of library materials. The fee card would affect borrowing privileges only. Members of the community could still use the collection within the library without payment of a fee.

ADMINISTRATIVE REORGANIZATION: Finally the various present problems, measures taken to ameliorate them, and future plans regarding access problems led to the conclusion that a higher degree of coordination between the Stacks Unit and the Loan Unit was required, these two units having operated independently under the direction of high level paraprofessionals since 1967. Further, it was considered essential to articulate more closely the operation of these two units, which in combination are now called the Circulation Services, with other units within the University Library structure and with individuals and units outside of the Library.

Consequently, the two units were combined and put under the direction of a professional librarian in May of 1977.

ACCESS PROBLEMS -- PLANNING

Among the additional efforts to improve access which are well along in the planning stage are:

1) experimentation with a readily available searching system which will both increase the user's "find" rate and provide him with some instruction, if he is willing to receive it, in those cases in which the book he could not find was in its proper location on the shelf, and

2) the installation of an electronic security system for the book collection, hopefully to be operational by January 1, 1978, to reduce the amount of theft from the collection.

On a longer range planning basis, efforts are going forward to establish a core collection of books demonstrated to be in high demand which can circulate under much more carefully controlled conditions, although on a self-service basis, with shorter loan periods which would apply to all users, including Faculty. What is visualized is a kind of reserve operation with the inclusion of the book in the collection determined by recorded usage, not by faculty request. The collection would be administered as part of the Reserve Service. The establishment of such a collection must await the successful implementation of the new circulation control system, which will have the potential of a remote terminal for recording circulation from this point.

However, none of the devices suggested above will help much without the continued support of the Library Staff. In order to make any long term improvement in our access situation we must overcome the tendency for library organizations to orient themselves toward the various records which we maintain, a tendency which is accompanied by a reluctance to think seriously about the reality of the physical book which is supposed to be behind these records. In the past, we have routinely tolerated in our records entries for items which we do not have and which we have not had for years. Equally incomprehensible has been our willingness to discard a second copy of an item because the record says we have it without any effort to check the shelves to see if it is actually there and, if so, in what condition.

OTHER SERVICES TO USERS

An enormously important aspect of the services the library renders is the user-library staff contacts which occur by the thousands each day. Because of the one-to-one basis of these transactions, they are enormously difficult to evaluate. During the past year, the University Librarian has received approximately 100 letters from users expressing appreciation for the quality and the usefulness of the services they have received. Given the infrequency with which users of public service agencies take the time to say thanks, these letters are most helpful in evaluating the quality of our services to users.

Our quantitative measurements are somewhat more plentiful. Among them are the following:

88 students took the one credit course in library use;

30,000 guides to the library or parts of it were distributed;

21 new guides were prepared and four existing ones were revised;
8,000 students participated in 331 orientation tours;
a slide-tape program regarding the use of the library was developed and shown 65 times;
one-half million items were paged for users of the Current Periodicals and Reserve Services;
18,000 transactions were handled by the Interlibrary Loan Service;
the Music Library supervised some 1,400 hours of tape dubbing;
29,000 reference questions were answered in the Documents Service; and
the Microform Service provided 30,000 hard copies of microform materials.

SERVICE TRENDS: If we compare the limited number of quantitative statistics we have for both 1972/73 and 1976/77, we can make a strong case that the Library use rate is growing more rapidly than is the student population.

The Student FTE grew by 20 per cent from 1972/73 to 1976/77 (from 23,500 to 28,000.)

During that period total recorded use grew by 26 per cent, use of Reserve grew by 55 per cent, use of Current Periodicals grew by 160 per cent, and Interlibrary Loan transactions grew by 81 per cent.

AUTOMATED SEARCH SYSTEMS

During the past year the Library has had available, on a cost recovery basis, both Lockheed's DIALOG and System Development Corporation's ORBIT. These vendors between them provide access via standard telephone lines to several dozen computer stored files of bibliographic data. During the year, users paid out $6,440 for 303 searches and the resulting bibliographies. Six librarians assisted in the devising of the search strategy and in the operation of the terminals. One hundred-fourteen of the searches were in Science Technology, 89 in Social Sciences and Psychology, 62 in Education, and 38 in Business.

Likely future interests in this area on the part of users involve having the data bases stored locally and available through the local Computer Center. This is true partly because not all data bases are available through commercial vendors. Further, if one regards the computer service as part of the normal university overhead and the cost of subscription to the periodic updates of the tapes of the files as a legitimate charge against the library serials budget, access to the data bases becomes "free." The Department of Chemistry, the College of Liberal Arts, the Computer Center, and the Library are presently involved with an experiment involving such access. The Library has subscribed to the tape of Chem Titles and, with funding provided by the academic units, programs are being developed which would make it possible to access this file, which is not available through either of the commercial vendors, through a terminal located in the Library accessing the file stored in the campus computer.

An even more complex development in this area which will challenge library procedures and require new ways of looking at funding problems is the inevitable wide-

spread availability in this manner of files of "information" as opposed to the current availability of files of "bibliographic references." What libraries face is the fact that in the fairly near future some of the printed information which they have traditionally purchased and simply let the patron use is going to consist of computer files. Given the present and likely future economics of publishing, particularly as compared with the economics of computer access, it is conceivable that the access to the computer stored information will be less expensive, and certainly less difficult to keep up to date, than would be the purchasing and storing of the published version, assuming that the latter is available.

COPY SERVICES: Early in the year, Copy Print Corporation, which held the franchise for the operation of an over-the-counter copy service and of the maintenance and operation of the coin operated copy machines located through the library and its branches, was purchased by Pacific Mountain Corporation. During the past year, the new holder of the franchise, while holding the prices virtually constant, has increased the number of machines from 22 to 24 and has replaced 15 of the old machines with new ones. The new machines are much preferred by users because they involve a dry rather than a wet process. Also, the new machines hold a larger supply of paper, and each machine makes change, factors which very substantially reduce the volume of complaint about the copy operation.

OCLC: In October of 1975, the University Library shifted its cataloging operations to those provided via leased telephone lines by the Ohio College Library Center.

At this point we have, for the first time, cost and production data for a full year of OCLC operation which can be compared with the last full year of cataloging prior to OCLC. The comparison years are 1974/75 and 1976/77. As the Table below indicates, for an increase in overall expenditure of 14 per cent, the productivity of the department in titles cataloged was increased by 36 per cent. In evaluating the 14 per cent increase in cost figure, one must keep in mind that had there not been cost of living increases for staff of 13 per cent during this period the total costs of labor, materials, and services in cataloging would have been $324,080 instead of $361,170. In other words, a 36 per cent in productivity would have been achieved at a 2 per cent increase in overall costs. Alternatively, had we not gone to OCLC in 1975, labor costs would have increased by $38,000 to $330,095 but the level of productivity would have remained at the 1974/75 level because the department was working to capacity during that year. Because of the considerable increases in the book budget during this period, the result would have been a horrendous backlog of uncataloged and hence unavailable books. In addition, we would not have had staff to transfer to public service positions to help accomodate the increase there has been in student population during that period or the staff to transfer to Acquisitions Units to handle the more than doubling of the book budget.